

Grants Management Enterprise (GME) Handbook

For LEAs (Local Educational Agencies)

Arizona Department of Education
Jaime A. Molera
Superintendent of Public Instruction
May 2002

The Grants Management Handbook Goal

Since the inception of the Grants Management System in 1998, the Grants Management Unit has striven to provide quality instruction on the processes of applying for and reporting on grants administered by the Arizona Department of Education. Our primary goal is to assist subgrantees in successfully negotiating the electronic system via the Internet, while ensuring that it is optimally functional and user-friendly.

Grants Management is always reviewing the content of its training materials for accuracy and salience as the “New Technology” almost outdates itself even as it is born. We recognize your need for the most up to date and user-friendly instructional materials that we can offer. The year 2002 version you now hold promises to be the most enlightening of previous versions. We hope that we have provided more than just the basics, but not so complex that the new user becomes overwhelmed. Once practiced, the online processes take very little time and the system is considered highly reliable and popular.

This Handbook will take you step by step through the grants processes. The end user can view screenshots of actual Grants Management web pages, read instructions about the Grants Management system and how we “work” on the Internet, learn about the standardized practices and proper ways to handle the reporting requirements of projects, as well as discover common entry errors when using the system. There’s also a quick reference appendix that includes data commonly requested by users of the system.

We welcome your comments and feedback on this newest version. We further encourage you to:

- 1) work with others in your organization who are knowledgeable about Grants Management,
- 2) attend training sessions or call the Help Desk at the Regional Training Center (RTC) nearest you¹,
- 3) and/or contact Grants Management with your questions and concerns.

Our primary goal is met only when we have made sure that our customers are empowered.

The Grants Management Unit

Christa Hughes M.A., Manager
Cassidy Jackson, Information Technology Specialist
Mary Dallman, Program/Project Specialist
Clara Bazso, Administrative Assistant

¹ Grants Management and RTC contact information can be found on the inside back cover of this Handbook.

Grants Management Guidelines

Table of Contents

General Statement of Assurance/Audit Evaluation.	4
Accessing the Grants Management Home Page	6
Negotiating the Grants Management Home Page.	8
Project Summary	10
Fund Profiles	12
Application Downloads	15
On-line Applications.	17
Amendments	26
Cash Management	29
Completion Reports	36
Common Problems	41
Printing in Frames	45
Appendices	
Appendix A - General Statement of Assurance Sample	47
Appendix B - Project/Program Codes	51
Appendix C - Step by Step Instructions for On-line Applications.	53
Appendix D - Budget Page for Institutes of Higher Learning, Community Based Agencies, State Agencies and Other Non School Districts and Charter Schools . .	55
Appendix E - Chart of Accounts Matrix.	57
Appendix F - Step by Step Instructions for On-line Amendments	58
Appendix G - Step by Step Instructions for On-line Cash Management Reports. . .	60
Appendix H - Project Flags and Holds: Their Meaning and Remedy.	61
Appendix I - Step by Step Instructions for On-line Completion Reports	62
Appendix J - Grants Management Calendar	64

For Further Assistance/Grants Management Contact Page

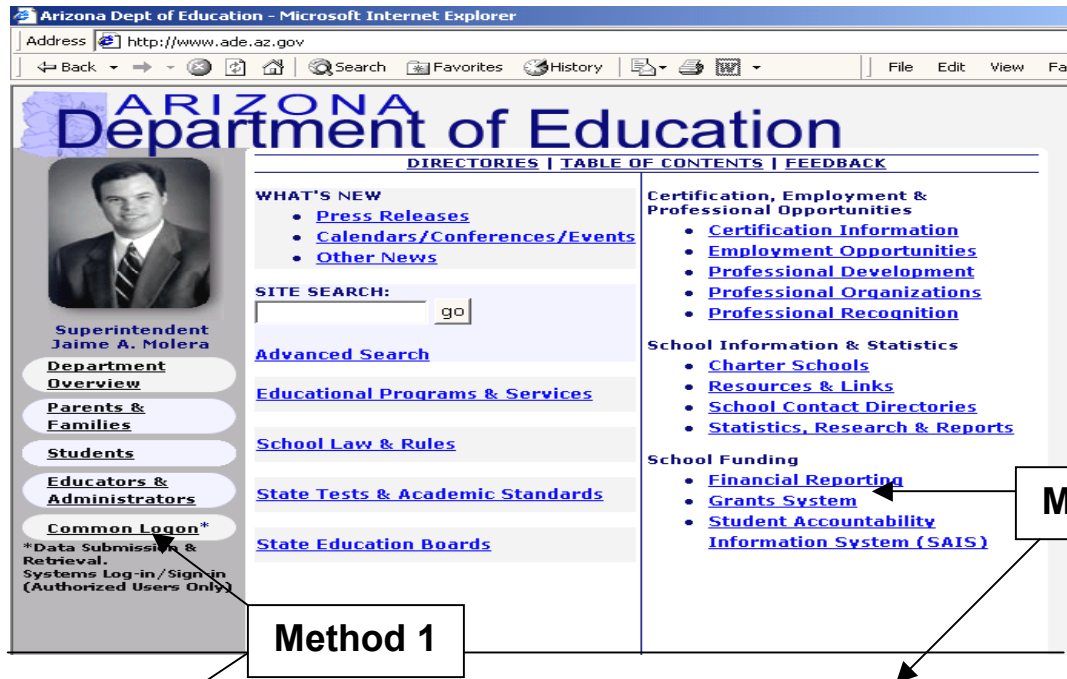
Inside Back Cover

General Statement of Assurance/Audit Evaluation

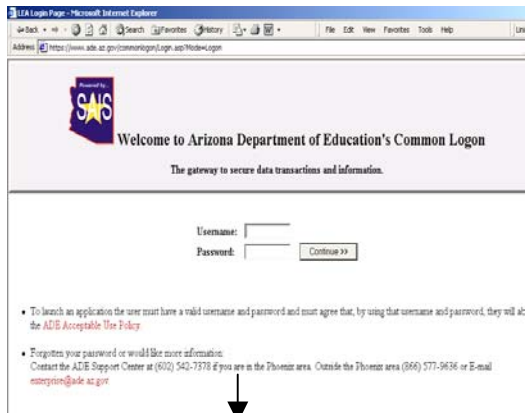
- ❖ A General Statement of Assurance guarantees accountability, to the United States and the State of Arizona, by the recipients of Federal and State assistance grants. (See Appendix A Sample). The following apply:
 - A document required to receive federal and state funding for projects/grants administered by the Arizona Department of Education (ADE)
 - Submitted annually; to be returned by May 31st; reminder broadcast faxed in March
 - Must be signed by Authorized Representatives
 - Individuals with authority to sign for the entity they represent
 - Common Logon UserID (Username and Password)
 - Required to access secure Grants Management processes
 - Issued upon receipt of the General Statement of Assurance
 - Each authorized agent will receive separate UserID
 - Remains the same unless the user changes the password
 - Common Logon is more secure, provides a single portal, and standardizes data
 - Available as a download on the Grants Management web site or in email format
- ❖ Audit Requirements
 - A. The Audit Evaluation form shall be submitted annually to ADE Audit Resolution by entities that do not submit an AFR to the ADE. It must be submitted within 3 months of the entity's fiscal year end to determine if the Single Audit is required for the previous fiscal year. Information, instructions and the Evaluation available as a download on the Grants Management web site, but a different future web location is pending. The Evaluation may be substituted with results of an independent OMB A-133 Single Audit.
 - B. Entities expending \$300,000 or more in federal funds must undergo an OMB A-133 Single Audit and submit the results to the ADE within 9 months of the entity's fiscal year end
 - C. Charter Schools must have an annual audit per A.R.S. 15-914.
 - D. The ADE has authority to hold all federal funds if A, or B (if eligible) is not submitted to the ADE Audit Resolution unit within 9 months of the entity's fiscal year end

GETTING TO GRANTS MANAGEMENT

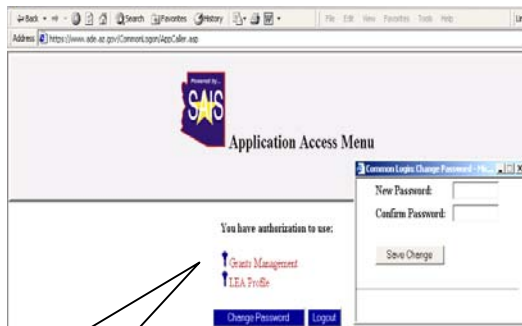
ADE Home Page



Common Logon Entry Page



Change password / Enter



Grants Mgmt homepage



GME Security Gateway Page



Accessing the Grants Management Home Page

Note: Grants Management is now merged with Enterprise and the Common Logon and is called the Grants Management Enterprise or (GME).

Method 1

You may wish to enter the secure Grants processes immediately (online applications, amendments, etc), starting from the ADE homepage.

1. Go to www.ade.az.gov
2. Click on the Common Logon hyperlink (lower left)

OR

Method 2

You may wish to view non-secure grant information before logging on (project summaries, fund alerts, etc), starting from the ADE homepage.

1. Go to www.ade.az.gov
2. Click on the Grants System hyperlink
3. Review all non-secure processes from the Grants homepage
4. When ready to enter data, click on any secure process to go to the GME Security Gateway page
5. Click on the Common Logon hyperlink

OR

Method 3

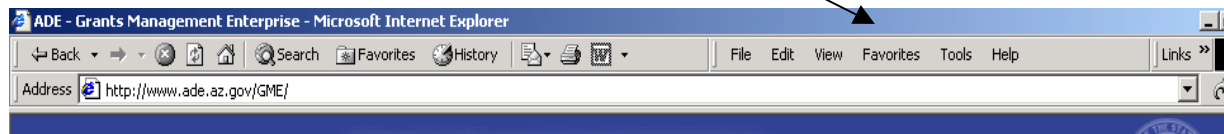
You may wish to start from your Grants Management homepage bookmark.

1. Go to www.ade.az.gov/GME
2. Bookmark the page (delete the old bookmark)
3. Review any non-secure process or click on a secure process to go to the GME Security Gateway page
4. Click on the Common Logon hyperlink

At the Common Logon

1. Enter your Common Logon userID
 - a. First time users will first need to read, print, then agree to the Acceptance Use Policy, and then change their password.
 - b. Passwords can be anything appropriate but need to be at least 7 characters and are CaSe sensitive. Grants Management cannot assist with forgotten passwords. Call the ADE Support Center at 602-542-7378 or outside the Phoenix area at (866) 577-9636 or email enterprise@ade.az.gov
2. Click on Grants Management
3. Enter any secure process within Grants Management without logging on again (as long as you do not close your browser window or stay in the

Bookmarking is a great way to get to a website fast. However, it may sometimes be necessary to reset your bookmark.




Negotiating the Grants Management Home Page

WELCOME TO GRANTS MANAGEMENT

ADE Home Page	Grants Home Page	Glossary	Contacts	FAQ's
---------------	------------------	----------	----------	-------

- ADE Home Page – Allows you to return to the Arizona Department of Education Home Page
 - Grants Home Page – Allows you to return to Grants Management Home Page from other grants management options
 - Glossary – Contains definitions for common terms associated with the Arizona Department of Education. Here you will also find hyperlinks to downloads such as the Fund Carryover Matrix, the Maximum Indirect Cost by Grant Matrix, and more
 - Contacts – Contains names, phone numbers, grants handled, and e-mail addresses for project/grant program contacts at the Arizona Department of Education
 - FAQ's - Frequently Asked Questions regarding requirements and processes
-
- Grant/Project hyperlinks: On-Line Applications, Amendments, Cash Management Report and Completion Reports are all secure links requiring a userID.
-
- Documents and Forms: Public access downloadable documents

Best Practices

- 1) You can search for terms or names on the Glossary or Contacts pages by clicking on Edit on the menu bar and Choosing "Find" or on a PC typing Ctrl+F. Then type in the term or name you are searching for and click Find Next.
- 2) We're all very used to double clicking to open a computer desktop icon  but you may not be aware that double clicking a [hyperlink](#) is really not a good idea and here's why.

Hyperlinks are created to be single clicked to get you where you're going. You may have noticed that if you click a slow [hyperlink](#) a second time, it restarts the process of loading the page, which puts you back at square one. Also, if you ordered something online with your credit card, you wouldn't want your card accidentally billed twice, or even take the risk that might happen.

Although most online systems have prevention measures built into them, it sometimes happens anyway, and there are so many places to click! Therefore, please take care when using the Grants System. Thanks!

Project Summary Selection Page

ADE - Grants Management Enterprise - Microsoft Internet Explorer

Address: http://www.ade.az.gov/GME/ProjectSummary/ProjectSelect.asp

GRANTS MANAGEMENT ENTERPRISE

ADE Home Page | Grants Home Page | Glossary | Contacts | FAQ's

Project Summary Selection

Instructions

- Select the project by clicking the project number.
- To go back, click 'Go back'

Fiscal Year: 2002
 Grant: ALL
 Entity: ALL
 Project Number:

[Show Projects](#) [Go Back](#)

ADE - Grants Management Enterprise - Microsoft Internet Explorer

Address: http://www.ade.az.gov/GME/ProjectSummary/ProjectSelect.asp?SHOW=1&EntityID=420&fiscalYear=2002&GrantID=0&ProjectNumber=

GRANTS MANAGEMENT ENTERPRISE

ADE Home Page | Grants Home Page | Glossary | Contacts | FAQ's

Project Summary Selection

Instructions

- Select the project by clicking the project number.
- To go back, click 'Go back'

Fiscal Year: 2002
 Grant: ALL
 Entity: Phoenix Union High School District - 07-05-10-000
 Project Number:

[Show Projects](#) [Go Back](#)

* Balance = Project Budget - Local Total - Paid to Date

Fiscal Year	Grant Name	Entity	Project Number	Project Budget	Local Total	Paid to Date	Balance
2002	Class Size Reduction	Phoenix Union High School District - 07-05-10-000	027402CR-200713-014	778,202.00	0.00	071,319.24	406,882.76
2002	Emergency Immigrant	Phoenix Union High School District - 07-05-10-000	027402EM-200713-014	207,795.84	0.00	95,201.77	112,594.07
2002	Gifted Education	Phoenix Union High School District - 07-05-10-000	027402GT-200713-014	101,764.32	72,495.82	29,269.00	0.00
2002	ISBA-Instruction	Phoenix Union High School District - 07-05-10-000	027402IC-200713-014	8,487,824.55	1,422,639.21	698,253.69	1,466,931.65
2002	Johnson & Miley Indian Ed	Phoenix Union High School District - 07-05-10-000	027402JM-200713-014	27,038.32	5,646.32	23,544.00	7.00
2002	Migrant Ed Basic Grant	Phoenix Union High School District - 07-05-10-000	027402MG-200713-014	20,410.00	0.00	8,940.93	11,469.07
2002	Refugee Children	Phoenix Union High School District - 07-05-10-000	027402RC-200713-014	28,932.00	0.00	7,000.00	21,932.00
2002	School Safety Program	Phoenix Union High School District - 07-05-10-000	027402SC-200713-014	406,524.00	0.00	271,015.86	135,508.14

Click the blue text to view a project

- The Go Back button is almost everywhere in the Grants System. Please use this button when needed, instead of your browser's back button.
- Project Detail includes line item descriptions, plus any additional narratives.
- Previous CR Status shows the status of all previous years' Completion Reports that may impact the current year project.
- View the events of this project from start to finish including submittal and approval dates of application, amendments, completion reports...

1 [Go Back](#) 2 [View Project Detail](#) 3 [View Previous Project CR Status](#) 4 [View Project Event Log](#)

Project Summary Page

ADE - Grants Management Enterprise - Microsoft Internet Explorer

Address: http://www.ade.az.gov/GME/ProjectSummary/ProjectSummary.asp?SHOW=1&EntityID=420&fiscalYear=2002&GrantID=0&ProjectNumber=

GRANTS MANAGEMENT ENTERPRISE

ADE Home Page | Grants Home Page | Glossary | Contacts | FAQ's

Project Summary

Instructions

- To go back, click 'Go back'

[Go Back](#) [Printer friendly version](#)

District	Phoenix Union High School District	Indirect Cost Rate	1.33 %
CTBS	070510000	Index #	21631
Grant Name	2002 - Class Size Reduction	Award Year	2001
CFRA Title	Class Size Reduction	Award Name	Class Size Reduction
Award Agency	US Department of Education	Project Start Date	07/01/2001
Project Number	027402CR-200713-014	Amendment Number	0
Amendment Approval Date	N/A	Fiscal Year	
Current Status	Cost Management Out of Compliance		

BUDGET LINE ITEMS			FUNDING SOURCES	
Function Code	Object Code	Amount	Funding Type	Amount
Instruction 1000				
Salaries	6100	489,000.00	2000 Carryover	
Employee Benefits	6200	117,518.00	2001 Carryover	
Purchased Professional Services	6300	0.00	2000 Interest Carryover	
Purchased Property Services	6400	0.00	2001 Interest Carryover	
Other Purchased Services	6500	0.00	2001 Miscellaneous Local	
Supplies	6600	0.00	2001 Other Local	
Other Expenses	6800	0.00		
Subtotal for Instruction 1000		606,518.00		
State funds				
Support Services 2100, 2200, 2600 - 2900			2000 Undisbursed Carryover	
Salaries	6100	66,000.00	2001 Undisbursed Carryover	
Employee Benefits	6200	8,250.00	2000 Undisbursed Carryover	
Purchased Professional Services	6300	8,000.00	2001 Undisbursed Carryover	
Purchased Property Services	6400	12,000.00	2000 Holdback	
Other Purchased Services	6500	41,200.00	2001 Holdback	
Supplies	6600	0.00	2002 Allocation	778.3
Other Expenses	6800	10,500.00		
Subtotal for Support Services 2100, 2200, 2600 - 2900		145,950.00		
Support Services - Admin 2100, 2400, 2500				
Salaries	6100	0.00		
Employee Benefits	6200	0.00		
Purchased Professional Services	6300	0.00		
Purchased Property Services	6400	0.00		
Other Purchased Services	6500	10,000.00		
Supplies	6600	1,000.00		
Other Expenses	6800	0.00		
Subtotal for Support Services - Admin 2100, 2400, 2500		11,000.00		
Operation of Non-Instructional Services 3000				
Salaries	6100	0.00		
Employee Benefits	6200	0.00		
Purchased Professional Services	6300	0.00		
Purchased Property Services	6400	0.00		
Other Purchased Services	6500	0.00		
Supplies	6600	0.00		
Other Expenses	6800	0.00		
Subtotal for Operation of Non-Instructional Services 3000		0.00		
Project SubTotal		761,468.00		
Max Restricted Indirect Cost Allowed		14,794.93		
Indirect Cost				
Restricted Indirect Cost Rate 1.33 %	6910	14,794.00		
Capital Outlay				
Property	6700 et. al.	0.00		
Total		776,262.93		

[Go Back](#) [View Project Detail](#) [View Previous Project CR Status](#) [View Project Event Log](#)

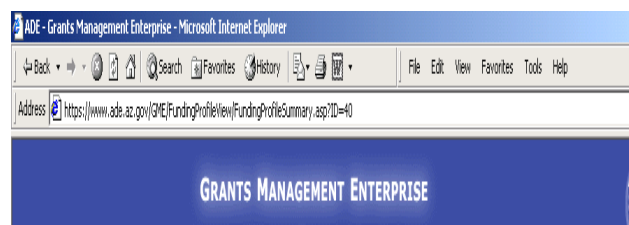
The Printer friendly version reduces ink usage. A window appears over the Project Summary

Project Summary – View summary data for all current & past projects


- ❖ Allows you to view grant/project information on: (See Project Summary opposite page)
 - School District - Public information
 - Project Name, Project Number, Fiscal Year (See Appendix B)
 - Grant/project Hold Status - Compliant, Cash Management Report Due, Programmatic Hold, Completion Report Due, Audit Hold, etc.
 - CTD Number - County-Type-District
 - Indirect Percentage- Current approved ADE restricted yearly rate
 - Amendments - Latest approved amendment number and approval date
 - Completion Report approval date
 - Project Start and End Dates
 - Current Status (compliant or hold notice)
 - Budget - Latest approved budget
 - Funding Source
 - Breakdown of approved local funds, including carryover and interest
 - Breakdown of approved State funds to be disbursed
 - Payments
 - Scheduled Payments
 - Actual payment processed/dispensed for a grant/project
 - RSP - Remaining Scheduled Payment (federal projects only)
 - Totals
 - Other hyperlinks at bottom of page (see inset explanation on opposite page)

1. Choose by Type (for districts and charters, etc.)

3. View fund profile in detail




Best Practice: Visit this page monthly for new fund alerts.



To view
all types
click View
All

2. Choose a Grant to view



Click on a
grant name
to view
grant
details

Hardcopy application, other supplemental documents required, and/or detailed instructions can be downloaded here.

General Information - Public Information with Application Access

Fund Profiles - Access information on most Arizona Department of Education (ADE) Administered and Non-ADE Administered funds available for local education agencies

❖ Contains the following information:

- Funding Name - Adult Education Basic/State, Gifted Education, Title I LEA, etc.
- Program Area - The program area responsible for administering this grant (Academic Support, Administration, Adult Education, Charter Schools, Exceptional Student Services, Student Services or Vocational Education)
- Authorizing Statute
- Funding Source - Federal or State
- Funding Type - May be any one of the following internal requirements for disbursing funds: Grant First In/First Out, Grant-Pool, Non Applicable or Non-Grant
- Purpose - Describes the purpose or intent of the grant that needs to be addressed or considered when applying for the grant
- Eligibility requirements
- Eligible subgrantees - May be any one or combination of the following: Charter Schools, School Districts, State Agencies, Community Based Organizations, Community Colleges, Child/Day Care Centers, Private Schools or Other
- Applicable Goals - Specific Arizona Department of Education Goal(s) being addressed by this grant.
- Fund Totals - Portion(s) of the grant that are Federal, State and/or Other and the Total
- Range of Awards
- Award Apportionment - Amount to be apportioned as Formula, Discretionary, Administration or Technical Assistance
- Application Process - Competitive, Contract, Non-Applicable or Non-Competitive

[View fund profile in detail \(continued\)](#)

https://www.ade.az.gov/GME/FundingProfileView/FundingProfileSummary.asp?ID=40 - Microsoft Internet Explorer

Address https://www.ade.az.gov/GME/FundingProfileView/FundingProfileSummary.asp?ID=40

To assist local education agencies (LEA) in assuring that all children with disabilities, aged 3 through 21, have available to them a free appropriate public education (FAPE) which emphasizes special education and related services designed to meet their unique needs. An LEA may use the funds under Part B for the excess costs of providing special education and related services.

Eligibility Requirements

All public entities functioning under Arizona law as local education agencies must demonstrate to the satisfaction of the SEA that a) All children with disabilities who are participating in programs and projects funded under Part B of the Act receive FAPE, and that those children and their parents are provided all the rights and procedural safeguards described in this part; and b) must have approved special education policies and procedures on file with Exceptional Student Services. This submission must include the annotated policies and procedures checklist developed by the ADE/ESS.

Eligible Subgrantees	School Districts Charter School State Agency Other	Applicable Goals	Goal 1. To advocate and support increased student achievement. Goal 5. To improve the efficiency of Department operations for quality customer service.
Fund Totals	Federal : 78,063,939.00 State : 0.00 Other : 0.00 Total : 78,063,939.00	Range of Awards	1.00 7,000,000.00
Award Apportionment	Formula : 78,063,939.00 Discretionary : 0.00 Administration : 0.00 Technical Assistance : 0.00 Total : 78,063,939.00	Application Process	Competitive
Application Available Date	01/03/2002		
Application Due Date	06/30/2002		
Project Period Begin	07/01/2001		
Project Period End	06/30/2002		
Spending Term	12		
Contact Information			
Contact Name	Connie Hill		
Phone	(602) 542-3850	Email	chill@ade.az.gov
Weblink	www.ade.az.gov/ess		

View Another Apply Online View Download Files

Use the Apply Online button to begin the grant application process.
Remember: Applying online requires a current General Statement of Assurance on file at ADE and a Common Logon userID.

Click View Download Files to obtain Information, Hardcopy Application, Instructions, Additional Narratives, or other data relating to this grant. If additional data is required, your application will not be considered complete without it.

- Application available and due dates
- Project Period begin and end dates
- Spending term (up to 27 months)
- Contact information (name, number, email)
- Weblink – a hyperlink to the website address for the Program Area or the grant
- Some applications are only available in downloadable hardcopy format. If the page reads “This application is available in Hard Copy Only” you must contact the person listed

Application Download Menu

Funding Profile Download Files

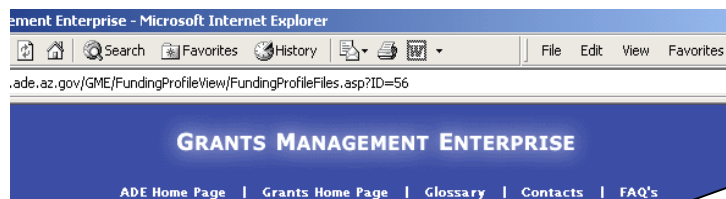
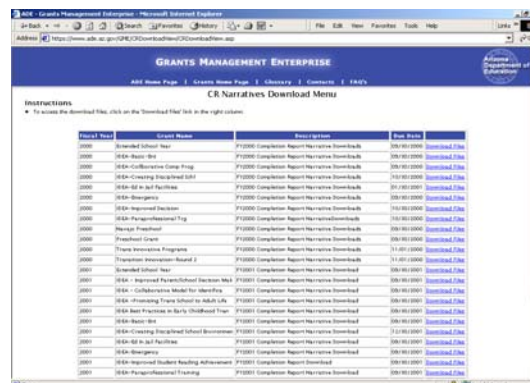


Obtain general information about using the Grants Management system by contacting Grants Management at the phone number or email address listed at the bottom of many Grants Management webpages.



Downloads can be in many formats including Word, Excel, or pdf (such as Adobe Acrobat). You must have the Word or Excel version stated to be able to view and/or edit each document. Contact the person named on the Fund Profile/Fund Alert for grant-specific information.

CR Narratives Download Menu



Program specific information should be obtained by contacting the Program Office responsible for administering each grant (see Contacts button at top of page).

General Information –Downloads

Download application and supplemental information files, or completion report downloads

❖ Application Downloads enables you to:

- Download a grant application that may or may not be available on-line, and/or
- Download supplemental documents required for a specific grant, or instructions for negotiating the application process. Some entitlement grants post allocations.
- Please note, a username and password is not required to download a grant application and/or supplemental information; however, submittal of the General Statement of Assurance (GSA) is still required and an application will not be processed until a current GSA has been filed with the Arizona Department of Education. It is strongly recommended that the GSA be completed and returned promptly to prevent a delay in processing the grant application.

❖ Completion Report Downloads enables you to:

- Download supplemental documents required for a project completion report, or instructions for negotiating the online completion report process. Required completion report data has the same due date as an online completion report in order to be considered compliant. See Completion Report section.

❖ General:

- Some downloaded materials that are completed using word processing software can usually be emailed as attachments. Check with the program office responsible for the grant for information on using this fast and efficient mode.



- Is your process complete? Remember to submit all portions necessary (online and downloads)

Introductory Exercise (1)

1. **What must a local educational agency (LEA) submit annually, to apply for ADE administered grants?**
 - a. A username and password

- b. A project
 - c. General Statement of Assurance
 - d. Cash management report
- 2. What amount and type of expenditures would require an OMB A-133 Single Audit?**
- a. An entity expending \$300,000 in state funds
 - b. An entity expending \$300,000 or more in federal funds
 - c. Both a and b are correct
 - d. None of the above
- 3. What is the Internet Address for the Arizona Department of Education (ADE)?**
- a. <http://www.ade.az.gov>
 - b. 1535 W. Jefferson St.
 - c. <http://grantsmanagement.gov>
 - d. None of the above
- 4. How can you find the Fund Carryover Matrix?**
- a. From the Grants homepage, click on the Glossary toggle bar then use the “find” function on your Internet browser and type Fund Carryover Matrix
 - b. From the Grants homepage, click on Application Downloads
 - c. From the Grants homepage, click on Completion Report Downloads
 - d. What’s a Fund Carryover Matrix?
- 5. From the Glossary on the Grants Management Home Page find the definition of Compliance/Compliant.**
- 6. From the Contacts list on the Grants Management Home Page who is the contact for Gifted Education?**
- a. Nancy Ryan-Schmidt
 - b. Carolyn Carr (ESS Funding Unit is handling calls: 602-542-3850)
 - c. Jaime A. Molera
 - d. Susan B. Anthony
- 7. What information can you gather from Project Summary?**
- a. LEA Report Card information
 - b. LEA individual project data, including project number, budget information, amendment approval information, etc., by fiscal year, prior year completion report history, project event log, etc.
 - c. LEA contact information including phone number and address
 - d. AIMS data
- 8. What can you obtain from accessing Fund Profiles?**
- a. Grant availability information including availability dates and due dates.
 - b. Find out the purpose of the grant
 - c. Whether or not the grant is available for on-line submittal
 - d. Whether or not the grant has downloads
 - e. Name and contact information for the person responsible for the grant
 - f. All of the above and more

Answers on next page

General Information - Applications

On-line Applications - Enter and Submit Grant Applications (You must save data at least every half hour to remain in the Common Logon)

(Also see Step by Step Instructions for On-line Applications in Appendix C)

- ❖ Provides user access to enter and submit grant applications
- Common Logon userID is required
- All previous options were public information, including downloads

Application - General Information

- ❖ Entitlement/Formula Grant
 - A grant based on a state or federal mandate, or a formula where ADE does not have discretion and merely acts as a conduit
 - ADE responsible for the final distribution of funds
 - Eligible entities are notified with a letter advising them of amount of grant allocation/award and specifics regarding applying for grant
 - Entitlement/formula grant typically available for on-line submittal
 - Does not require approval of the State Board of Education
- ❖ Discretionary/Competitive Grant
 - A competitive grant award typically not based on a formula or legislative mandate
 - Distribution of these funds is based upon the specific criterion of the grant where ADE acts as the administering agent and has responsibility for the final disposition of funds
 - Examples: targeted audience and/or specific populations to be served, demographic factors, etc.
 - Competitive grant applications typically not available on-line
 - Original applications must be received by the date and time specified on fund profile or hardcopy information
 - Require approval of the State Board of Education

Answers to Introductory Exercise (1)
1) c; 2) b; 3) a; 4) a; 5) The LEA does not have more than 4.0% of the federally funded award in unreserved or unexpended cash; 6) b; 7) b; 8) f

General Information – Negotiating an Online Process

- ❖ Enter the Common Logon from the ADE homepage or through a Grants Management Enterprise secure process (see page 5)
 - Once logged in, click on Grants Management
 - Click on a secure process on the Grants homepage
 - Choose an existing process to continue, or create a new process
- ❖ Frames and icons
 - Hyperlinks appear in the left frame and the corresponding icons fill with lines when the page is saved
 - Click on another hyperlink to fill out and save another page
 - To print a page, place the cursor in a recessed box on that page and print normally, or right click over the frame and choose print. Hyperlinks without icons are informational only and can be printed using the right mouse click
 - Single Standard page icons (the one-page icons), when the page is filled out and saved, the icon will fill with lines and the data you entered will remain visible in the right frame
 - Multiple Standard page icons (pages one behind another) work differently. When the page is filled out and saved the icon does **not** fill with lines, and the data you saved will appear as a separate new Single Standard icon/hyperlink underneath it. The Multiple page will then reset to blank so you can enter data for another site or narrative, if needed. This Multiple page acts like a hardcopy page that could be copied for each school or site (renewable), e.g.

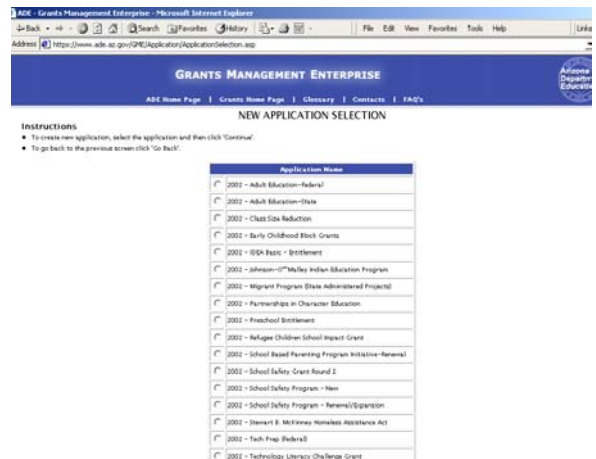


Validation Messages	
	Contact Information is required.
	Line Items is required.
	Line Items Description is required.

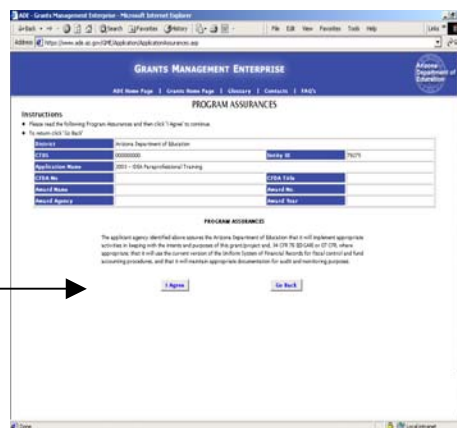
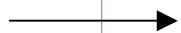
- If a *question* is required on a page and you try to save without answering, you will receive a minor validation message
- If a required *page* is not filled out and you attempt to Submit, you will receive a different kind of validation message

A. Applications In Progress Page
(Edit an app or check app status)

B. New Application Selection page
(Choose a new application)



Read and agree to the
programmatic assurances



Right click over
the desired
frame to print
that frame

General Information - Applications

Note: If you need to change data, you do not need to use the browser back button.

❖ **Contact Information Page**

- The name of the person responsible to make decisions regarding the grant application
- Phone number, extension, fax of the person designated above
- Typically the email address for the person listed above or an email for the person responsible to receive grant notification i.e. approvals, rejections, etc. You can enter more than one email address, separated by a space or semicolon
- Project Period Begin/End Dates - Grants/projects are generally granted for one fiscal year beginning July 1st and ending June 30th of the following calendar year
 - All state grants/projects end on June 30th
 - Some federal projects may extend the project period to September 30th, e.g., summer programs, extended school year program

❖ **Budgets** - Line items should be coded according to the Chart of Accounts section III-E-2.1 through III-E-3.9 of the Uniform System of Financial Records (USFR) or Uniform System of Financial Records for Arizona Charter Schools (USFRCS) if a charter school, or contact program office (See Appendix E for general guidelines regarding coding line items)

- All budgets are to be entered by line item and submitted via the Internet, if available
 - Entitlement/formula budgets should not exceed the grant allocation/award

Capital Outlay Justification Page (if amount budgeted to capital)

GRANTS MANAGEMENT ENTERPRISE

ADE Home Page | Grants Home Page | Glossary | Contacts | FAQ's

FINANCIAL DATA

- Contact Information
- Line Items
- Line Items Description
- Capital Outlay
- Payment Schedule

SUPPLEMENTAL DATA

- PPT TITLE PAGE
- PPT Application Information and Instructions
- APPLICATION REQUIREMENTS
- NEEDS ASSESSMENT
- Methodologies, Staff Development
- Program Goals and Objectives
- Program Performance Measures, Staff Development
- Public Notice Assurance
- REPORTING REQUIREMENTS
- Survey

SUMMARY & SUBMIT

EXIT APPLICATION

District: Arizona, Department of Education

CTDS: 000000000 Entity ID: 79275

Application Name: 2003 - IDEA Paraprofessional Training

Amount allocated in Budget for Capital Outlay: 1,000.00

Quantity	Cost Per Unit	Description	Purpose	Total
1	550.00	specific description	specific description	550.00
3	125.00	specific description	specific description	375.00
1				0.00
				0.00
				0.00
Grand Total				925.00

Add 5 Rows Save

General Information - Applications

Application General Information - Continued

- ❖ **Indirect Cost Rate** - Those expenses that incur for the joint benefit of more than one project and cannot be readily and specifically identified with a particular project without effort disproportionate to the results achieved
 - Is calculated yearly from school district/charter school Annual Financial Report (AFR) and approved by Audit Resolution
 - To receive an indirect cost rate the school district/charter school must check the box on the AFR requesting an indirect cost rate calculation and supply the additional information as indicated on the AFR
 - A Local Education Agency (LEA) must have an approved Indirect Cost Rate on file with Grants Management in order to charge against a grant
 - Can ONLY be applied to federally funded projects; however, may be restricted or disallowed on some federal grants

Best Practices: Having all the information you need beforehand will shorten your time spent on this process. Remember that you can save your work and come back to it later. Also, you may be **general** regarding capital outlay on the line item descriptions page, and **specific** on the capital outlay justification page

- Appears as a separate line item on the project budget page

- May not exceed the indirect cost rate times the actual subtotal expenditures of the project (excluding Indirect Cost and capital outlay)
- Is in effect at the project starting date and is to be used for the entire project period

❖ **Capital Outlay**

- Capital expenditures are those expenditures intended to benefit future periods, generally, the acquisition of or improvement to land, buildings and equipment
 - Capitalization thresholds are established by the entity: \$1,000/district, \$300/charter for equipment or \$5,000/district, \$3,000/charter for land, buildings and related improvements.
 - Items with a unit cost of \$1,000 (district) or \$300 (charter) or more must be listed as fixed assets and inventoried according to the procedures detailed in section VI-E-1 of the Uniform System of Financial Records (USFR) or Uniform System of Financial Records for Arizona Charter Schools (USFRCS) if a charter school.
 - Capital outlay may be restricted or disallowed on some projects

General Information - Applications

Application General Information - Continued

❖ **Payments**

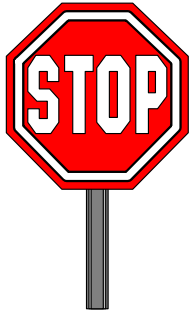
- State Payments to LEAs are made in accordance with the schedule requested on the application and are subject to approval by the appropriate program office
- For cash advanced federal projects, schedule only a first disbursement, then place the remainder in the last month or RSP (Remaining Scheduled Payment). The cash management report will determine subsequent disbursements

❖ **Summary and Submit page**

- This page provides a last opportunity before submitting your application to review all items entered from the Contact Page through the Narrative portion (if required) of the Online Application. Print this as well as the next (Receipt Page) for your records.

❖ **Approval/Rejection Notification**

- Will be emailed, mailed, or communicated by telephone to the person listed as the contact on the application
- LEAs should cancel the original disapproved application if it is not desirable to revise and resubmit, or if the LEA is not eligible for the funds. When approved, the LEA can print a copy of the project summary upon notification



Hint: Community based Organizations, Institutions of Higher Education, and State Agencies may be required to use the short form. The Grants system will use the entity CTD# to determine this automatically. No effort is required on your part. See Appendix D for an example of this form.

* Is your application process complete? There may be additional downloads required.

Application Exercise (2)

1. What must a LEA have to apply for grants on-line?

- a. A name
- b. E-mail capability
- c. A Common Logon userID
- d. A car

2. Grant applications are due to the Arizona Department of Education by:

- a. April 15th.
- b. the date specified on the Fund Profile
- c. the date specified on hard copy information
- d. February 29, 2001
- e. both b and c are correct

3. Discretionary/Competitive grants:

- a. are typically not available on-line
- b. must be received by the date and time specified
- c. require approval of the State Board of Education
- d. All of the above

4. In order to charge indirect cost against a grant the LEA:

- a. must have an approved indirect cost rate on file with ADE Audit Resolution

- b. may not exceed the indirect cost rate times the grant subtotal or subtotal on final expenditures of a grant
- c. cannot be applied to state grants, and may be restricted or disallowed on some federal projects
- d. all of the above

5. For questions regarding coding of specific line items the LEA should refer to:

- a. the Chart of Accounts Matrix in Appendix E
- b. the Uniform System of Financial Records (USFR) for School Districts or (USFRCS) for Charter Schools
- c. contact the appropriate program office administering the grant
- d. all of the above

6. Upon grant approval by the program office notification is sent to the LEA by way of:

- a. via e-mail, if available
- b. via U.S. postal service
- c. via public service announcement
- d. both a and b are correct

7. In the Grants Management Enterprise System, the new “frames” technology means that in order to view or change data entered, users do *not* need to use the browser’s back button.

- a. True
- b. False

Answers on next page

AMENDMENTS

Click on the **Create Amendment** hyperlink for the appropriate project.

Add or subtract only the amount to change. Do **not** put the new line item amount in the Change box.

Use parentheses () or a negative sign (-) to indicate a decrease.

Answers to Application Exercise (2):
1) c; 2) e; 3) d; 4) d; 5) d; 6) d; 7) a

General Information - Amending a Grant/Project

Amendments - Make an Amendment to a previously approved Grant Application.
(Also see Appendix F for Step by Step Instructions for On-line Amendments).

- ❖ Allows user to make a change to an approved federal or state grant/project
 - An amendment can be for a fiscal, programmatic change, or both
 - An amendment must be submitted no later than 90 days prior to the project/grant ending date

- An amendment request is subject to approval by the appropriate program office

Project End Date	On-line availability	Deadline
June 30 th	Anytime after the project has been approved	March 31 st

❖ Fiscal Amendments

- To avoid an over-expenditure¹ on a project/grant, an amendment should be requested when the anticipated expenditures will exceed a budgeted line item by 20% or \$1000 whichever is greater and/or...
- To avoid an unauthorized¹ expenditure on a project/grant, an amendment should be requested when the anticipated expenditures do not have an approved budget line item on the latest approved application or amendment and/or...
- An approved state or federally funded project/grant may be amended to reflect changes in line item allocations or additional funds resulting from carryover monies or additional allocations which increase the budget total, or other changes (view the carryover matrix on the glossary for grant-specific information)

❖ Programmatic Amendments

- Programmatic Amendments may be submitted when there is no change to an approved budget line item amount:
 - Change staff duties or responsibilities
 - Change the type of contractual services from the approved budget
 - Change approved capital expenditure item(s)
 - Extend the project ending date beyond the original approved date
- ❖ Changes can be implemented when Program Office approves (notification by email or mail)

¹ See definition on Glossary page found from the Grants Management homepage

Amendment Exercise (3)

- 1. Amendments to Arizona Department of Education grants/projects are typically requested for:**
 - a. fiscal changes
 - b. programmatic changes
 - c. changes to the Constitution
 - d. both a and b are correct
- 2. A fiscal amendment should be requested when?**
 - a. To avoid an over-expenditure on a grant/project
 - b. To avoid an unauthorized expenditure on a grant/project
 - c. To reflect changes in line item allocations or additional funds resulting from carryover monies or additional allocation
 - d. To reflect changes in line item allocations due to decrease in approved allocation
 - e. All of the above
- 3. A programmatic amendment should be requested when there is a change to an approved budget line item amount such as:**
 - a. to change staff duties or responsibilities
 - b. to change the type of contractual services from the approved budget
 - c. to change approved specific capital expenditure item(s)
 - d. to extend the project ending date beyond the original approved date
 - e. all of the above
- 4. A brief explanation for submitting an amendment should be entered where, when submitting an on-line amendment?**
 - a. in the E-mail address box
 - b. in the Amendment Reason box
 - c. in the telephone box
 - d. all of the above
- 5. The deadline for submitting amendments for projects is:**
 - a. 30 calendar days before the project end date
 - b. 60 calendar days before the project end date
 - c. 90 calendar days before the project end date
 - d. 120 calendar days before the project end date
- 6. Amendments are officially approved, when?**
 - a. Upon approval notification sent by e-mail
 - b. Upon approval notification sent by U.S. postal service
 - c. Upon submittal by the LEA
 - d. Both a and b are correct

CASH MANAGEMENT

GRANTS MANAGEMENT ENTERPRISE

00-00-00-000 : Arizona Department of Education

Cash Management Project Selection

Instructions

- Select the project by clicking the project number.
- To go back to the homepage, click 'Go back'.

Fiscal Year	Grant Name	Project Number	Cash Management Status	
2002	Adult Education Basic/Federal	02FAFABE-211234-42A	Compliant	View Previous Cash Management Reports
2002	Migrant Ed Basic Grant	02FASMIG-211234-12A	Compliant	View Previous Cash Management Reports
2002	Migrant Ed Basic Grant	02FASMIG-211234-18A	Compliant	View Previous Cash Management Reports
2002	Migrant Ed Basic Grant	02FASMIG-211234-24A	Compliant	View Previous Cash Management Reports
2002	Migrant Ed Basic Grant	02FASMIG-211234-30A	Compliant	View Previous Cash Management Reports
2002	Migrant Ed Basic Grant	02FASMIG-211234-36A	Compliant	View Previous Cash Management Reports
2002	Title I LEA	02FASTTI-211234-15A	Compliant	View Previous Cash Management Reports
2002	Title I LEA	02FASTTI-211234-21A	Compliant	View Previous Cash Management Reports
2002	Title I LEA	02FASTTI-211234-27A	Compliant	View Previous Cash Management Reports
2002	Title I LEA	02FASTTI-211234-33A	Compliant	View Previous Cash Management Reports
2002	Title I LEA	02FASTTI-211234-39A	Compliant	View Previous Cash Management Reports
2002	Title II Eisenhower Prof Development	02FASTII-211234-14A	Compliant	View Previous Cash Management Reports
2002	Title II Eisenhower Prof Development	02FASTII-211234-20A	Compliant	View Previous Cash Management Reports
2002	Title II Eisenhower Prof Development	02FASTII-211234-26A	Compliant	View Previous Cash Management Reports
2002	Title II Eisenhower Prof Development	02FASTII-211234-32A	Out of Compliance	View Previous Cash Management Reports
2002	Title II Eisenhower Prof Development	02FASTII-211234-38A	Compliant	View Previous Cash Management Reports
2002	Title IV Safe & Drug Free Basic	02PSSIVB-211234-11A	Out of Compliance	View Previous Cash Management Reports
2002	Title IV Safe & Drug Free Basic	02PSSIVB-211234-17A	Out of Compliance	View Previous Cash Management Reports
2002	Title IV Safe & Drug Free Basic	02PSSIVB-211234-23A	Out of Compliance	View Previous Cash Management Reports
2002	Title IV Safe & Drug Free Basic	02PSSIVB-211234-29A	Compliant	View Previous Cash Management Reports
2002	Title IV Safe & Drug Free Basic	02PSSIVB-211234-35A	Compliant	View Previous Cash Management Reports
2002	Title VI Innovative Ed Prog	02FASTVI-211234-13A	Compliant	View Previous Cash Management Reports
2002	Title VI Innovative Ed Prog	02FASTVI-211234-19A	Compliant	View Previous Cash Management Reports

Submit report

View and print previous reports

GRANTS MANAGEMENT ENTERPRISE

Cash Management Report Submittal

Instructions

- The Total Budget is the latest ADE approved budget (including any amended carryover and/or amended interest as approved by the program official).
- The Disbursement from ADE to Date is the total amount that ADE has paid to this project in the current fiscal year (including the current month, if applicable).
- The Allowable Adjusted Cash Balance is calculated as 40% of the Total Budget. In order to be in Compliance Status, your Adjusted Cash Balance must be at or below this amount. This figure is calculated as the Cash Balance minus the Disbursements.
- Please enter your Cash Balance, calculated as the total of all current year ADE disbursements, plus approved amended carryover and/or interest, which remains in the project account on the day of the report, after expenditures. The Cash Balance must not include funds that have yet to be awarded into the current project or that have not yet been approved by the program official, or current fiscal year interest.
- Please enter the amount of money for this project that is currently encumbered or reserved. This is the amount of money reserved to pay obligations incurred but unpaid invoices which are unpaid within 60 days of the cash advance request and / or not yet paid periods that are issued a 60 day payment cash advance.
- To go back to the project selection, click 'Go back'.

District	Arizona Department of Education
CTSC	000000000
Current Month	2003 - 004-March Practice in Early Childhood Trans
Project Number	02PSSBPT-011234-03A

Cash Management Report Data	
1. Total Budget	\$,800.00
2. Disbursement from ADE to Date	0.00
3. Allowable Adjusted Cash Balance	280.00
4. Cash Balance	0.00
5. Encumbrance	0.00

[Go Back](#) [Submit to ADE](#)

GRANTS MANAGEMENT ENTERPRISE

View Previous Cash Management Reports

Instructions

Select the month you wish to view.

Month	Status
July 2002	See Cash Report submitted
August 2002	See Cash Report submitted
September 2002	See Cash Report submitted
October 2002	Compliant
November 2002	Compliant
December 2002	Compliant
January 2003	Compliant

[View Back](#)

Choose a month to view and print for your audit trail

Answers to Amendment exercise (3):
1) d; 2) e; 3) e; 4) b; 5) c; 6) d

General Information - Cash Management

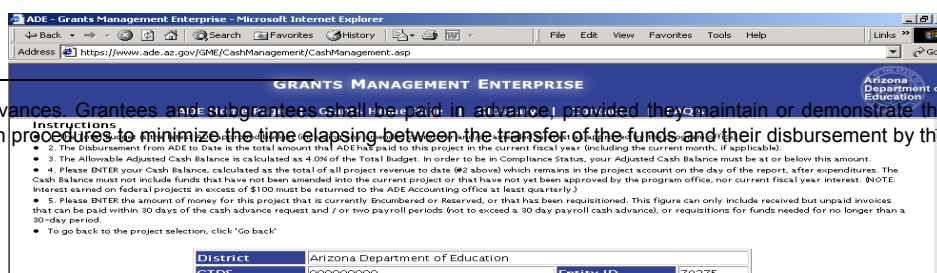
Cash Management Reports -- View Cash Management compliance report by project.
(Also see Appendix G for Step-by-Step Instructions for On-line Cash Management Reports).

- ❖ Cash Management is a report used to submit required information showing the amount of federal project funds on hand on the report date
 - **Not required** for State projects
 - The project number identifies whether a project is federal or state

00 F ASGLS-060728-10A	F for federal
00 S ESYS-060002-01A	S for state

- ❖ Why is cash management reporting required? Because ADE uses a cash advance (pre-issuance) funding technique.
 - ✓ Cash Management Improvement Act Agreement Between The State of Arizona and The Secretary of the Treasury, United States Department of the Treasury (FY01 CMIA US TSA) 6.2.12 Technique: Pre-issuance Funding
 - ✓ OMB Circular A-133 Compliance Supplement Provisional 6/97 under "Cash Management"
 - ✓ Circular A-102 (Revised 10/7/94, As Further Amended 8/29/97) 2.a. (Post-Award, cash management policies)
 - ✓ 34 CFR §80.20(b)(7): Standards for Financial Management Systems and 80.21(c)²
 - ✓ Circular A-110 (Revised 11/19/93, As Further Amended 9/30/99) SUBPART C - Post-Award Requirements
 - ✓ 31 CFR part 205: Title 31--Money and Finance: Treasury, Sec. 205.6 Funding techniques and Sec. 205.7 Requesting and transferring funds
- Projects based on reimbursement are currently exempt from cash management reporting
- A **monthly** report is required for all federal projects and must be submitted the 1st through the 18th of every month.
- Reports are used to assess compliance and determine the subsequent month's disbursement
- A report is due the first month of disbursement or when local carryover is amended/approved into the project, whichever comes first
- If a required report is not received, the project will be on cash management hold (no disbursement)

² Advances, Grantees and subgrantees shall be paid in advance, provided they maintain or demonstrate the willingness and ability to maintain procedures to minimize the time elapsing between the transfer of the funds and their disbursement by the grantee or subgrantee.



Cash Management Submittal Page

Cash Management Report Data	
1. Total Budget	406.00
2. Project Revenue to Date	
Disbursement from ADE to Date	0.00
Approved Local Carryover	0.00
Total	0.00
3. Allowable Adjusted Cash Balance	16.24
4. Cash Balance	0.00
5. Encumbrances/Requisitions	0.00

Cash Balance (can be negative) = The total of all current year ADE disbursements, plus approved amended local carryover and/or interest, which remains in the project account on the day of the report, after expenditures.

Encumbrances/Requisitions = Received but unpaid invoices or requisitions, plus payroll not to exceed 30 days accumulation

Receipt Page

Arizona Department of Education
Grants Management Enterprise

ADP Home Page | Grants Home Page | Glossary | Contacts | FAQ's

Cash Management Report Receipt

District: Arizona Department of Education
CTPS: 000000000
Grant Name: 2003 - IDEA-Best Practices in Early Childhood Tran

Utility ID: 79275
Project Number: 03F08PT-011234-01A

Your Report was submitted but will not affect the upcoming month disbursement because it was submitted during the accounting payment period.

Cash Management Status	
Receipt #	CMT001448
Status	Compliant
Submitted by	trainer2
Submitted Date	1/31/2002 5:00:58 PM

Cash Management Report	
Total Budget	\$5,993.22
Disbursement from ADE to Date	\$0.00
Allowable Adjusted Cash Balance	\$215.33
Cash Balance	\$0.00
Encumbrances	\$0.00
Adjusted Cash Balance	\$0.00
Disbursement to subrecipient	\$0.00
Allocation Balance	\$5,993.22

If any hold(s) exist(s) on the project, an additional box will appear below stating the hold. Meanings of and remedies for holds can be found in Appendix H on page 61.

Print this receipt normally or use the printer-friendly version (pops up over the box)

General Information - Cash Management

Cash Management - Continued

- The last submitted report prior to the 19th will take precedence
- The last opportunity to submit a report to receive a final month's disbursement is between the 1st-18th in the preceding month, even if the project extends beyond June 30th
- The last opportunity to submit any cash management report is the project end date (however, no disbursement will be made—see completion report section)
- Reporting ceases when two conditions are met: 1) the full state (SEA) payments have been made (no further disbursements) and 2) the subrecipient reports the cash balance as zero. If project funds are later discovered, resume reporting
- Subrecipients may receive any negative cash balance (reimbursement) plus requested 30 days needs (Encumbrances/Requisitions), provided that the amount does not exceed the unreleased funds amount and no other project holds exist

❖ Adjusted Cash Balance

- Enter the Cash Balance and the Encumbrances/Requisitions (see opposite page for definitions)
- The Adjusted Cash Balance is electronically calculated as the difference between Cash Balance and Encumbrances/ Requisitions
- An adjusted cash balance may not exceed 4.0% of the project total
- Projects with an adjusted cash balance exceeding the 4.0% allowable will be placed on "Cash management out of compliance" status
- A report can be submitted during the payment cycle (after the 18th) but is considered late, and will not affect the next month's disbursement. The next monthly report will still be due during the next month (1st through 18th)
- Do not report funds from a prior year project that are not yet amended/approved into the current year project
- Interest earned on federal projects in excess of \$100 must be returned to the ADE Accounting office at least quarterly, however, in accordance with the Intergovernmental Cooperation Act, the Bureau of Indian Affairs/Johnson O'Malley, Public Law 81-815 and Public Law 81-874 programs are currently exempt from the preceding rule.

General Information - Cash Management

Cash Management - Continued

Example: Budget total (No local carryover)	\$100,000.00
First disbursement month	August
Encumbrances/ Requisitions (projected 30 day needs)	\$21,000.00
Balance* ³	\$79,000.00

AUGUST REPORT

<i>Allowable Adjusted cash balance</i>	A	\$ 4,000.00	<i>System calculated</i>
Cash balance	B	\$3,999.00	Numeric Entry
Encumbrances/Requisitions	C	\$8,000.00	Numeric Entry
Adjusted Cash Balance (B – C)	D	\$-4,001.00	Status: COMPLIANT
Disbursement to subrecipient	E	\$4,001.00	System calculated
<i>Balance* (previous balance – E)</i>	F	\$74,999.00	<i>System calculated</i>

SEPTEMBER REPORT

Cash balance	B	\$-2,000.00	Numeric Entry
Encumbrances/ Requisitions	C	\$8,000.00	Numeric Entry
Adjusted Cash Balance (B – C)	D	\$-10,000.00	Status: COMPLIANT
Disbursement to subrecipient	E	\$10,000.00	System calculated
<i>Balance (previous balance – E)</i>	F	\$64,999.00	<i>System calculated</i>

OCTOBER REPORT

Cash balance	B	\$7,999.00	Numeric Entry
Encumbrances/ Requisitions	C	\$2,500.00	Numeric Entry
Adjusted Cash Balance (B – C)	D	\$5,499.00	Status: NONCOMPLIANT
State funds disbursement to subrecipient	E	\$0	System calculated
<i>Balance* (previous balance – E)</i>	F	\$64,999.00	<i>System calculated</i>

NOVEMBER REPORT

Cash balance	B	\$-8,000.00	Numeric Entry
Encumbrances/ Requisitions	C	\$8,000.00	Numeric Entry
Adjusted Cash Balance (B – C)	D	\$-16,000.00	Status: COMPLIANT
Disbursement to subrecipient	E	\$16,000.00	System calculated
<i>Balance (previous balance – E)</i>	F	\$48,999.00	<i>System calculated</i>

General Information - Cash Management

Cash Management - Continued

³ * The Balance represents those projects funds that may be disbursed by the State during the life of the project. If local carryover is approved through an amendment this figure may decrease, depending upon program/grant carryover guidelines.

Example: An approved amendment adds \$2,000.00 local carryover to this project. The approved carryover is now considered cash on hand/cash balance and must be expended according to the same cash management rules that govern all federal projects. (If directed by the Program Office to amend, carryover must be amended as soon as possible after a prior year's completion report is approved. Subrecipients must take care to anticipate the timing of the carryover becoming part of the current year's project and plan expenditures accordingly in order to avoid excess cash conditions.)

For purpose of example, the carryover added to this fictitious project increases the budget total.

DECEMBER REPORT

<i>Allowable Adjusted cash balance</i>	A	<i>\$ 4,080.00</i>	<i>System calculated</i>
Cash balance	B	\$8,000.00	Numeric Entry
Encumbrances/ Requisitions	C	\$8,000.00	Numeric Entry
Adjusted Cash Balance (B – C)	D	\$0	Status: COMPLIANT
Disbursement to subrecipient	E	\$0	System calculated
<i>Balance (previous balance – E)</i>	F	<i>\$48,999.00</i>	<i>System calculated</i>

❖ Status Flags - Upon submitting a cash management report to the Arizona Department of Education the project status will be designated on the receipt

- Compliant
 - The project does not have more than 4.0% of the total federally funded award in unreserved or unexpended cash
- Non-Compliant
 - Adjusted cash balance exceeds the 4.0% allowable
- Other Holds
 - See Appendix H, page 61 for hold messages, their meanings and remedies

Cash Management Exercise (4)

1. Which projects require cash management reports?

- a. All State projects
- b. All Federal projects (any amount), except contracts on reimbursement
- c. Both a and b

- d. All federal projects with budget totals of \$10,000 and over.
- e. None of the above

2. When is the first cash management report due?

- a. Before the first disbursement month.
- b. During the first disbursement month.
- c. After the first disbursement month.
- d. Whenever any local carryover is amended/approved into the project.
- e. Both b and d are correct, whichever comes first.

3. Cash balance should be reported as:

- a. funds already expended on the project
- b. funds physically available to the project for current or future expenditure
- c. the amount a project is allowed to have on hand to be compliant
- d. how the subrecipient balances the project's cash books/records

4. What is the maximum adjusted cash balance allowable on a federal project in order to be in Cash Management Compliance?

- a. 4.0%
- b. 12%
- c. 8.5%
- d. 28.5%

5. Cash management reports:

- a. assess the project's cash compliance
- b. determine the subsequent month's project disbursement
- c. are to be submitted between the 1st and 18th of the month
- d. all of the above

6. Encumbrances/Requisitions/payroll in a Cash Management report but may not be reported for a period exceeding:

- a. 2 weeks.
- b. 30 days.
- c. 90 days.
- d. Subrecipients can report expenses to be incurred during the life of the project.

7. Subrecipients may enter a negative cash balance in the cash balance box and be reimbursed that amount, as long as it does not exceed the unreleased amount and no other project holds exist.

- a. True
- b. False

COMPLETION REPORTS

Answers on next page

GRANTS MANAGEMENT ENTERPRISE

ADE Home Page | Grants Home Page | Glossary | Contacts | FAQ's

COMPLETION REPORT ENTRY

Instructions

- Select the project by clicking the project number.

00-00-00-000 : Arizona Department of Education

Fiscal Year:

Fiscal Year	Grant	Project Number	CK Status	Last Update User	Last Update Date
1998	Adult Education Basic/Federal	00045ABC-13	Approved by ADE	hskeno	6/25/2001 8:33:05 AM
1998	Adult Education Basic/Federal	00045ABC-12	Approved by ADE	hskeno	5/12/2000 11:07:47 AM

GRANTS MANAGEMENT ENTERPRISE

ADE Home Page | Grants Home Page | Glossary | Contacts | FAQ's

District	CTDS	Grant Name	Entity ID	Project Number
Arizona Department of Education	0000000000	2002 - Adult Education Basic/State	79275	025AEB5-299999-04A

FUNDS SUMMARY

Total Budgeted Funds	Current Fiscal Year ADE Disbursement	Carryover Funds	Balance	Allowable Cash on Hand	Cash On Hand Less Interest Earned	Interest Earned	Other
10.00	0.00	0.00	10.00	0.40	0.00	0.00	0.00

Cash on Hand = actual project funds on hand after project expenditures. Does not include other funds that were never amended into the project.

Interest Earned = interest earned on the project that has not already been returned to the ADE. (Interest earned in excess of \$100 on federal projects must be returned to the ADE at least quarterly.)

"Other" funds may include (e.g.) prior year interest or prior year funds not yet returned to the ADE. E.g., a capital item was paid for with project funds from a prior year, but the item broke and could not be replaced, so a refund was issued.

Budget Balance = remaining capacity

Over expenditure = a line item may exceed the last approved line item budget by 20% or \$1,000, whichever is greater**. The amount over that is the amount of overexpenditure.

Unauthorized expenditure =

Any amount over zero where the last approved line item budget was zero (see also Amendments)

**Indirect cost cannot exceed the rate times the project subtotal of actual expenditures (excluding capital outlay) unless more stringent grant limits exist

ADE - Grants Management Enterprise - Microsoft Internet Explorer

Address: https://www.ade.az.gov/GME/CompletionReport/Capture/CompletionReportCM.asp

GRANTS MANAGEMENT ENTERPRISE

ADE Home Page | Grants Home Page | Glossary | Contacts | FAQ's

FINANCIAL DATA

- Contact Information
- Funds Summary
- Expenditures
- Capital Outlay

SUMMARY & SUBMIT

EXIT COMPLETION REPORT

District: Arizona Department of Education

CTDS: 000000000 Entity ID: 79275

Grant Name: 2002 - Adult Education Basic/State Project Number: 025AEAB5-29999-04A

BUDGET LINE ITEMS					
Function Code	Object Code	Budget Amount	Expended Amount	Budget Balance	Ov./Un. Expend.
Instruction 1000					
Salaries	6100	10.00	5.00	5.00	0.00
Employee Benefits	6200	0.00	5.00	-5.00	5.00
Purchased Professional Services	6300	0.00	0.00	0.00	0.00
Purchased Property Services	6400	0.00	0.00	0.00	0.00
Other Purchased Services	6500	0.00	0.00	0.00	0.00
Supplies	6600	0.00	0.00	0.00	0.00
Other Expenses	6800	0.00	0.00	0.00	0.00
Subtotal for Instruction 1000		10.00	10.00	0.00	5.00
Support Services 2100, 2200, 2600 - 2900					
Salaries	6100	0.00	0.00	0.00	0.00
Employee Benefits	6200	0.00	0.00	0.00	0.00
Purchased Professional Services	6300	0.00	0.00	0.00	0.00
Purchased Property Services	6400	0.00	0.00	0.00	0.00

Answers to Cash Management Exercise (4):
1) b: 2) e: 3) b: 4) a: 5) d: 6) b: 7) a

General Information - Completion Reports

Completion Reports -- Enter and Submit project Completion Reports on-line.
(Also see Appendix H for Step-by-Step Instructions for On-line Completion Reports)

❖ A completion report is a report of actual expenditures for a grant/project

- Required for all grants/projects (State and Federal)
- May also require a programmatic narrative (attached to the online report or as a download to be submitted separately)
- Must be submitted to the Arizona Department of Education (ADE) within 90 days after the end of the project/grant; there is no grace period allowed

Project End Date	On-line availability	Deadline
Example: 6/30	Beginning 7/1	9/28

- If the county superintendent's office handles the financial activities it is the district's responsibility to allow the county ample time to approve the report within that 90 day period
- If a completion report (including any additional required narratives) is NOT received by the ADE within 90 days after the project end date, further payments to the LEA on the current-year project will be suspended until the ADE is in receipt of a valid report
- Completion reports that are rejected after the 90-day deadline must be corrected and resubmitted to the ADE within 30 days after the rejection date, or further payments to the LEA on the current-year project will be suspended until receipt of a valid report.
- Cash on Hand – The completion report is the final cash management report. Cash on hand must be less than or equal to 4.0% of the budget total to be compliant

❖ Expenditures:

- Final expenditures must be reported to the penny
- Indirect cost cannot exceed the rate times the project subtotal of actual expenditures (excluding capital outlay) unless more stringent grant limits exist
- Indirect cost must be rounded down to the penny, i.e. 123.776 must be reported as 123.77

General Information Completion Reports

Completion Reports – Continued

NOTE: These examples are intended to show the relationship between cash on hand and budget balance only. The grids do not accurately represent the actual online completion report pages.

Cash on Hand - The amount of **local** project funds that remain in the project account after the close of the project period after all expenditures have been made. This does NOT include "Other" or any interest earned on funds from monies deposited to this grant account.

The Budget Balance is the remaining capacity on the project and cannot be negative. It can include Cash on Hand and/or unreleased funds.

All disbursements paid by ADE: Cash on hand reflects/mirrors the budget balance

Example 1

Total Budgeted Funds:	35,621.39	A	
Current Fiscal Year ADE Disbursement:	33,274.00	B	
Carry-over Funds:	2,347.39	C	
Allowable Cash on Hand	1,424.86	D	
Cash on Hand:	0.00	E	←
Interest Earned ⁴ :	123.80	F	
Other:	0.00	G	

$B + C = A$ or 35,621.39

Cash on Hand
 $B + C - H = E$ or 0.00

<i>Project Grand Total Expenditure Amount:</i>	35,621.39	H	
<i>Budget Balance:</i>	0.00	I	↖

Cash on Hand and
Budget Balance
match

All disbursements paid by ADE: Cash on hand reflects/mirrors the budget balance

Example 2

Total Budgeted Funds:	35,621.39	A	
Current Fiscal Year ADE Disbursement:	33,274.00	B	
Carry-over Funds:	2,347.39	C	
Allowable Cash on Hand	1,424.86	D	
Cash on Hand:	4,999.75	E	←
Interest Earned:	123.80	F	
Other:	0.00	G	

$B + C = A$ or 35,621.39

Cash on Hand
 $B + C - H = E$ or 4,999.75

<i>Project Grand Total Expenditure Amount:</i>	30,621.64	H	
	4,999.75	I	↖

Cash on Hand and
Budget Balance
match

⁴ For federal projects, interest earned in excess of \$100 must be clearly identified and returned to the ADE Accounting office at least quarterly. Do not include interest already returned to the ADE.

General Information - Completion Reports

Completion Reports - Cash on Hand - Continued

Disbursements held at ADE due to Cash Management Report Due, Programmatic Hold, etc. ADE has not released the entire allocation to the project. The "Cash on Hand" is equal to the actual disbursements, including amended carry-over funds, minus the actual project expenditures but does not match the budget balance.

Example 3

35621.39				
-25000.00=				
10621.39				
-2347.39=				
8274.00				
+1725.65=				
9999.65				

Total Budgeted Funds:	35,621.39	A
Current Fiscal Year ADE Disbursement:	25,000.00	B
Carry-over Funds:	2,347.39	C
Allowable Cash on Hand	1,424.86	D
Cash on Hand:	1,725.65	E
Interest Earned:	123.80	F
Other:	0.00	G

<i>Project Grand Total Expenditure Amount:</i>	25,621.74	H
	9,999.65	I

$B + C = 27,347.39$

$B + C - H = E \text{ or } 1,725.65$

Cash on Hand and Budget Balance do not reflect one another

Disbursements held at ADE due to Cash Management Report Due, Programmatic Hold, etc. ADE has not released the entire allocation to the project. The "Cash on Hand" is equal to the actual disbursements, including amended carry-over funds, minus the actual project expenditures. The cash on hand equals a negative amount and does not reflect the budget balance.

Example 4

Total Budgeted Funds:	35,621.39	A
Current Fiscal Year ADE Disbursement:	25,000.00	B
Carry-over Funds:	2,347.39	C
Allowable Cash on Hand	1,424.86	D
Cash on Hand:	-8,274.00	E
Interest Earned:	123.80	F
Other:	0.00	G

<i>Project Grand Total Expenditure Amount:</i>	35,621.39	H
	0.00	I

Funds at local level
 $B + C = 27,347.39$

Cash on Hand
 $B + C - H = E \text{ or } -8,274.00$

Cash on Hand and Budget Balance do not reflect one another

General Information - Completion Reports

Completion Reports - Disposition of Remaining Funds

❖ Budget Balance/Interest

- The disposition of budget balances is governed by federal grant guidelines, the Uniform System of Financial Records (USFR) for School Districts, Uniform System of Financial Records for Charter Schools (USFRCS) and specific program guidelines
- A budget balance and/or interest may or may not be required to be returned
- Approved carryover is intended to benefit the following year's program/project and must be amended when directed to do so by the Program Office approving the Completion Report.
- View the appropriate year Fund Carryover Matrix on the Grants Management Glossary page
- Contact the appropriate program office for specific program guidelines
- Returned funds must be clearly identified (project number, grant name, fiscal year) and returned to the ADE Accounting office unless otherwise directed. A form is available on the Grants homepage.
- Upon program office approval of a valid completion report if there is negative cash on hand and the full project disbursement has not yet been released, funds will then be released up to the additional amount expended or to bring the unreleased balance to zero, whichever is less
- **Federal** grant assistance monies for FY01 and prior have expired and must be returned unless they have been amended/approved into a current year project. Allowable carryover on **State** projects varies by grant guidelines. FY02 federal funds expire on September 30, 2003.

Completion Report Exercise (5)

1. **Which projects require completion reports to be submitted to the ADE?**
 - a. All State projects
 - b. All Federal projects
 - c. All of the above
 - d. All federal projects with a budget total of \$10,000 and over.
 - e. None of the above
2. **When must a completion report be submitted to the ADE?**
 - a. Within 60 days after the project end date
 - b. Within 90 days after the project end date
 - c. Between the 1st and the 18th of the month
 - d. Within 30 days after the project end date
3. **A Budget Balance and Cash Balance may or may not match in a completion report, depending on whether the full project disbursement was made and whether there is any local Cash on Hand.**
 - a. True
 - b. False
4. **What information is required to submit a completion report?**
 - a. Know the actual funds received for the project/grant
 - b. Know the cash on hand and/or budget balance for the project/grant
 - c. Know the interest earned on funds received for the project/grant
 - d. Know if additional funds need to be released for the project/grant
 - e. All of the above
 - f. None of the above
5. **What is an over-expenditure?**
 - a. A budget line item expenditure that exceeds 20% or \$1000, whichever is greater
 - b. A budget line item expenditure with a zero budget
 - c. Both A and B are correct
 - d. None of the above
6. **What is an unauthorized expenditure?**
 - a. A budget line item expenditure that exceeds 20% or \$1000
 - b. A budget line item expenditure with a zero budget
 - c. Both A and B are correct
 - d. None of the above
7. **Who should you contact with questions regarding an over-expenditure or unauthorized expenditure?**
 - a. The program office responsible for administering the project/grant
 - b. The Grants Management Office
 - c. The Governor's Office
 - d. The Superintendent's Office
 - e. 911
8. **Who should you call when you have problems or questions regarding the electronic processes found on the Grants Management Home Page?**
 - a. The Governor's Office
 - b. The local Regional Training Center
 - c. Channel 3 on Your Side
 - d. 911
 - e. Arizona State School Superintendent Jaime Molera
 - f. The Grants Management Office
 - g. Both b and f are correct

Common Problems: Error Messages

Common Logon

-600000: The username is invalid or was not found in the database.
-600001: The password is invalid.

- ❖ Verify the username and password. Make sure the correct letters or numbers are being used and try again.
 - The lower case L (l), number 1 and capital I (as in Isabel) may cause problems
 - The zero (0) and capital O may also cause problems

The application you are requesting has been de-activated by ADE. This is most often due to deadline restrictions.3 seconds (then “Page cannot be displayed”)

The userID has become corrupted. Call the ADE Support Center at 602-542-7378 or outside the Phoenix area at (866) 577-9636 or email enterprise@ade.az.gov to obtain a new userID.

General

Internet Explorer cannot open the Internet Site http://www... A connection with the server could not be established

- ❖ Accessing the Arizona Department of Education (ADE) Grants Management Home Page through a Bookmark/Favorites may cause this error message
 - Type the ADE Internet address in the Address box and enter step-by-step from the ADE Home Page
 - Click on Grants System
 - Reset your Bookmark/Favorites
- ❖ This may mean the server is down
 - Check to see if your server is down
 - Contact ADE for additional assistance

Answers to Completion Report Exercise
(5):
1) c; 2) b; 3) a; 4) e; 5) a; 6) b; 7) a; 8) g

Common Problems: Error Messages continued

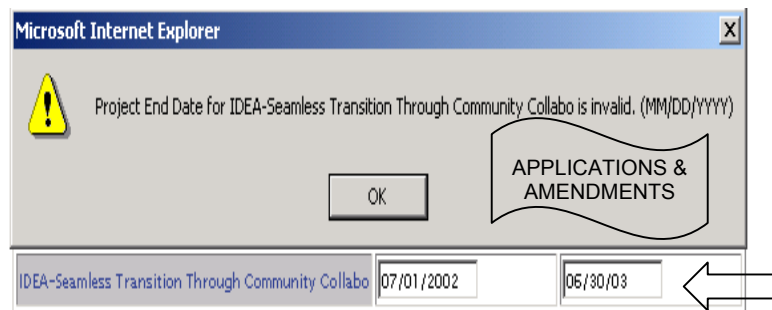
Applications, Amendments, Completion Reports



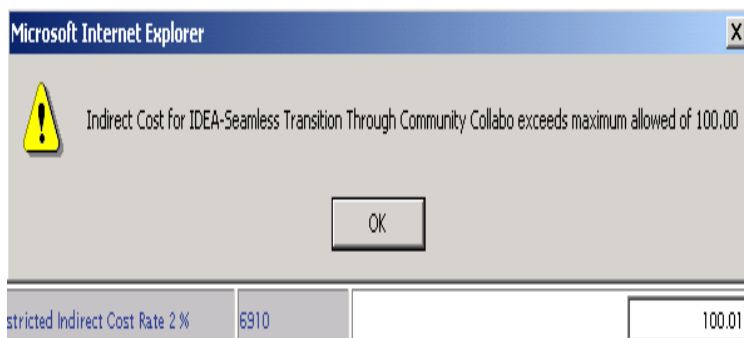
- ❖ If a *question* is required on a page and you try to save without answering, you will receive a minor validation message.
 - Answer the required question.

Validation Messages	
	Contact Information is required.
	Line Items is required.
	Line Items Description is required.
	Payment Schedule is required.

- ❖ If a required *page* is not filled out and you attempt to Submit, you will receive a different kind of validation message.
 - Fill out the required page.




- ❖ *Dates* must be entered in the format specified: 2 digits each for the month and date, and 4 digits for the year.



- ❖ *Indirect Cost* cannot be exceeded by even one penny.
 - Verify the entries
 - Transfer over-expenditures to local funds

Common Problems: Error Messages continued

PAYMENT SCHEDULE		
Month	IDEA-Seamless Transition Through Community Collabo	
July	APPLICATIONS	4,500.00
August		500.00
September		100.00




IDEA-Seamless Transition Through Community Collabo is a Federal project and you can specify only a first disbursement; the rest has to be put in RSP (Remaining Scheduled Payment)

OK

- ❖ Since payments to federal projects are driven by Cash Management reporting, the applicant may only specify a first disbursement and then place the remaining in the RSP (Remaining Scheduled Payment)

FUNDS SUMMARY		
Total Budgeted Funds	COMPLETION REPORTS	3,000.00
Current Fiscal Year ADE Disbursement		0.00
Carryover Funds		0.00
Balance		3,000.00
Allowable Cash on Hand		120.00
Cash On Hand (less interest earned)		-3,001.00
Interest E		0.00
Other		0.00
Comment		



Negative Cash Balance cannot exceed Balance.

OK


- ❖ Negative Cash on Hand on a project/grant cannot exceed the amount of unreleased funds (balance).

- Verify the entries

- Transfer over-expenditures to local funds

Common Problems: Error Messages continued

Microsoft Internet Explorer

 Expended total cannot exceed Budgeted Total

OK


0.00	0.00
0.00	0.00
0.00	0.00
0.00	0.00
0.00	0.00
6700 et. al.	0.00
100.00	-100.00
3,000.00	3,100.00
-100.00	100.00
Object Code	Budget Amount
Expended Amount	Budget Balance
Ov./Un. Expend.	



- ❖ The actual expenditures on a project/grant can not exceed the project total
- Verify the entries
- Transfer over-expenditures to local funds

Cash Management

Microsoft Internet Explorer

 Disbursement to subrecipient cannot exceed amount of unreleased funds.

OK

Cash Management Report Data	
1. Total Budget	406.00
2. Project Revenue to Date	
Disbursement from ADE to Date	0.00
Approved Local Carryover	0.00
Total	0.00
3. Allowable Adjusted Cash Balance	16.24
4. Cash Balance	0.00
5. Encumbrances/Requisitions	407.00

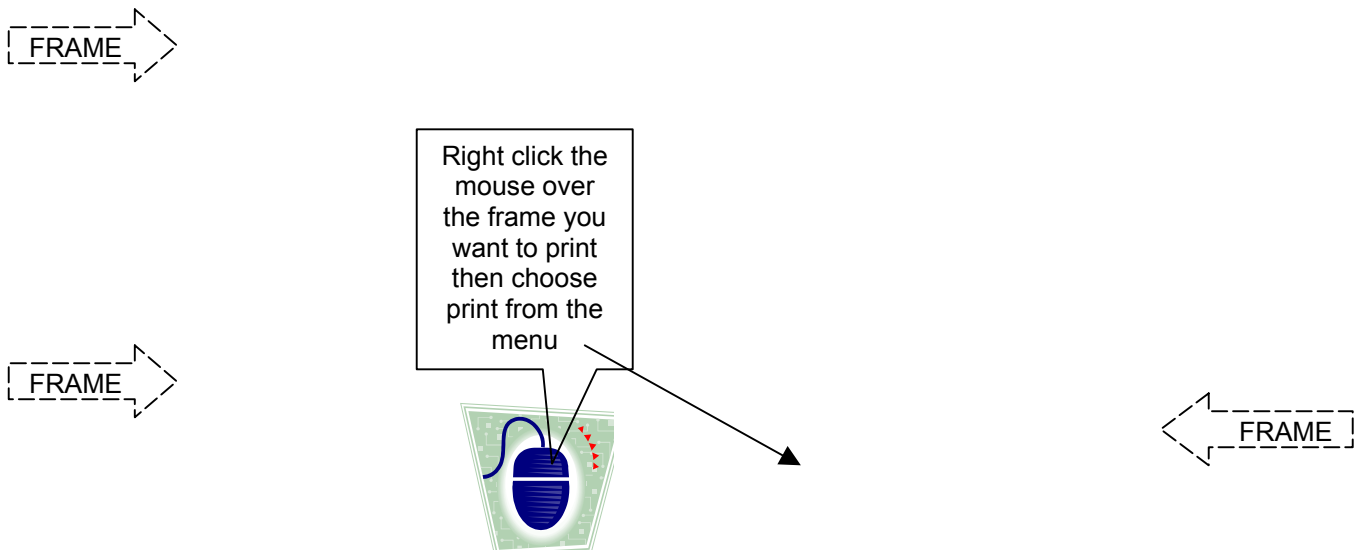
- ❖ The negative Cash Balance exceeds the amount of unreleased funds or the total budget
 - Make sure that the Cash Balance plus Encumbrances/Requisitions do not exceed the unreleased funds or the total budget. It might be advisable to consider a disbursement that has been sent by ADE, but not yet received.

Common Problems: Error Messages continued

- ❖ Timed-Out - Information entered on an on-line process did not save
 - This may occur when you have been in a process too long. The session time allowed for entering information is 30 minutes without usage (saving data).
 - When entering large amounts of data it is strongly recommended that you monitor your time and Save/Continue before the end of the 30-minute period or...
 - Exit the application, then re-enter and resume the process. Only the data you last saved will remain.
 - Where appropriate, print longer narrative questions, answer offline and re-enter the process to copy and paste the answers to the online application boxes.

Printing in a Frames Environment

- ❖ Understanding Frames
 - In Applications, Amendments, and Completion Reports, there are 3 frames
 - Pressing the F11 button will provide extra viewing room (press again to restore previous view)
 - Frames can be moved around by using the double arrow that appears when your mouse cursor is over a line
 - The frame you last left your cursor on is the one that will print
 - Make sure your cursor is in a recessed box and click the print button or...
 - Right click your mouse while your mouse is over the frame you want to print
 - Select the Print option from the side menu



Appendices

GENERAL STATEMENT OF ASSURANCE

RETURN TO:

Arizona Department of Education
 Attention: Grants Management Office, Bin 3
 1535 West Jefferson Street
 Phoenix, Arizona 85007

DUE DATE:

Annually by 5/30

A General Statement of Assurance must be filed **ANNUALLY** with the Superintendent of Public Instruction in order to participate in any Arizona Department of Education (ADE) administered program. **ONLY** those individuals whose original signature appears on this document will be recognized as the **AUTHORIZED REPRESENTATIVE**; and, the only individuals with the authority to sign for the entity they represent. These individuals will be issued a userID to enable the electronic transmittal of documents.

Name of Educational Agency: The Grants Training School

Mailing Address: 1535 West Jefferson, Bin 3

Phoenix, Arizona 85007

Address to which checks should be mailed: Same as above

Phone: (602) 542-3452 FAX: (602) 542-3359 E-mail: grants@ade.az.gov

Intent:

Federal and State assisted programs require that recipient agencies guarantee accountability to the United States and the State of Arizona, eliminate unlawful discrimination and ensure equal opportunities for the beneficiaries or potential beneficiaries of Federal financial assistance. The intent of the law is to accomplish this as soon as possible, but with careful review and meaningful efforts at voluntary compliance.

The General Assurance Statement does not cover the unique aspects of individual programs. Individual program staff will inform or make available to the recipient agency any changes in the rules and regulations that are applicable to that program.

ASSURANCES

The parties referred to in this document are the United States Department of Education, the Bureau of Indian Affairs of the United States Department of Interior, the United States Department of Agriculture, and the United States Department of Labor, all herein referred to as the "DEPARTMENT," and the State Board of Education of the State of Arizona, herein referred to as the "STATE AGENCY," and the local educational agency, herein referred to as the

"SUBGRANTEE," (Educational Agency Name) The Grants Training School,
 Educational Agency CTDS No. 00-00-00-000 County Maricopa, State of Arizona.

The STATE AGENCY may make funds available to the SUBGRANTEE for programs operated by the SUBGRANTEE in accordance with requirements and regulations applicable to such programs.

Consistent with 34 C.F.R. Sections 76-85, the SUBGRANTEE assures, if awarded a grant, subgrant, or contract:

1. That the SUBGRANTEE will accept funds in accordance with applicable Federal and State statutes, regulations, program plans, and applications, and administer the programs in compliance with all provisions of such statutes, regulations, applications, policies and amendments thereto.
2. That the control of funds provided to the SUBGRANTEE under each program and title to property acquired with those funds will be in a designated eligible recipient and that a designated eligible recipient will administer those funds and property.
3. That the SUBGRANTEE has the necessary legal authority to apply for and receive the proposed grant or subgrant and enter into the contract.
4. That the SUBGRANTEE will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organization" utilizing generally accepted accounting principles (GAAP). That the SUBGRANTEE will furthermore utilize competitive bidding practices in compliance with applicable procurement regulations.
5. That the SUBGRANTEE will make reports to the STATE AGENCY and to the DEPARTMENT as may reasonably be necessary to enable the STATE AGENCY and DEPARTMENT to perform their duties.
6. That the SUBGRANTEE will maintain records, including the records required under Section 437 of the General Education Provisions Act ("GEPA"), 20 U.S.C. § 1221, and provide access to those records as the STATE AGENCY or DEPARTMENT and the Comptroller General or any of their authorized representatives in the conduct of audits authorized by Federal Law or State Statute. This cooperation includes access without unreasonable restrictions to its records and personnel for the purpose of obtaining relevant information.
7. That the SUBGRANTEE will provide reasonable opportunities for participation by teachers, parents, and other interested agencies, organizations and individuals in the planning for and operation of each program.
8. That any application, evaluation, periodic program plan or report relating to each program will be made readily available to parents and to other members of the general public.
9. That in the case of any project involving construction, the project is not inconsistent with overall State plans for the construction of school facilities, if applicable; and in developing plans for construction, due consideration will be given to excellence of architecture and design and to compliance with standards prescribed under Section 504 of the Rehabilitation Act of 1973 and applicable provisions of Chapter 4 of Title 34, A.R.S., in order to ensure that facilities constructed with Federal (which become subsequently State) funds are accessible to and usable by handicapped individuals.

10. That the SUBGRANTEE has adopted effective procedures for:
 - A. Acquiring and disseminating to teachers and administrators participating in each program, significant information resulting from educational research, demonstration and similar projects; and
 - B. Adopting, if appropriate, promising educational practices developed through those projects.
11. That no person shall, on the ground of race, color, national origin, handicap, or sex be excluded from participation, be denied the benefits, or be otherwise subjected to discrimination under any program or activity for which the SUBGRANTEE receives Federal financial assistance. Admissions policies for private schools are understood and agreed to be part of such programs. In this vein, the SUBGRANTEE agrees to assure compliance with the Governor of Arizona's Executive Order 75-5 prohibiting discrimination in employment, as well as Title VI of the Civil Rights Act of 1964 (45 U.S.C. 2000d *et seq.*); Title IX of the Education Amendments of 1972 (20 U.S.C. § 1681-1683); Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. § 794); the Age Discrimination Act (42 U.S.C. § 6101 *et seq.*); and the Americans with Disabilities Act ("ADA") (42 U.S.C. § 12101 *et seq.*).
12. That the SUBGRANTEE may not use its Federal or State funding to pay for any of the following:
 - A. Religious worship, instruction, or proselytization.
 - B. Equipment or supplies to be used for any of the activities specified in paragraph 12A, herein.
 - C. Construction, remodeling, repair, operation, or maintenance of any facility or part of a facility to be used for any of the activities specified in paragraph 12A, herein.
 - D. An activity of a school or department of divinity. A school or department of divinity is defined in 34 C.F.R. § 76.532(b).
13. That no Federal funding may be used for the acquisition of real property unless specifically permitted by the authorizing statute or implementing regulations for the program.
14. That the SUBGRANTEE may not count tuition and fees collected from students toward meeting matching, cost sharing, or maintenance of effort requirements of a program.
15. That the SUBGRANTEE shall, to the extent possible, coordinate each of its projects with other activities that are in the same geographic area served by the project and that serves similar purposes and target groups.
16. That the SUBGRANTEE shall, to the extent possible, if its project includes activities to improve the basic skills of children, youth, or adults, coordinate its project with other basic skills activities that are in the same geographic area served by the project. Basic skills means reading, mathematics, and effective communication, both written and oral.
17. That the SUBGRANTEE shall continue its coordination with the STATE AGENCY during the length of the project period.
18. The SUBGRANTEE shall cooperate in any evaluation by the DEPARTMENT.
19. That if a program so requires, provisions shall be made for the participation of children enrolled in private schools in the area to be served. Such provision shall:
 - A. Provide private school students with a genuine opportunity for equitable participation.
 - B. Provide an opportunity to participate in a manner that is consistent with the number of eligible private school students and their needs.
 - C. Maintain continuing administrative direction and control over funds and property that benefit students enrolled in private schools.
 - D. Comply with the requirements of 34 C.F.R. §76.652 through 76.662.
20. That no provision of any law shall be construed to authorize the consolidation of any applicable program with any other program, such as the commingling of funds derived from one appropriation with those derived from another appropriation.
21. That funds will be used to supplement and not supplant State and local funds expended for educational purposes and, to the extent practicable, increase the fiscal effort that would, in the absence of such funds, be made by the SUBGRANTEE for educational purposes.
22. That the SUBGRANTEE will comply with all relevant laws relating to privacy and protection of individual rights including 34 C.F.R. Part 99 (Family Educational Rights and Privacy Act of 1974).
23. That the SUBGRANTEE will comply with any applicable federal, state and local health or safety requirements that apply to the facilities used for a project.
24. That it shall maintain records for 5 years following completion of the activities for which the SUBGRANTEE uses the federal or state funding and which show:
 - A. The amount of funds under the subgrant or grant.
 - B. How the SUBGRANTEE uses the funds.
 - C. The total cost of the project.
 - D. The share of that total cost provided from other sources.
25. If real property or structures are provided or improved with the aid of Federal financial assistance, the SUBGRANTEE will comply with applicable statutes, regulations and the project application in the use, encumbrance, transfer or sale of such property or structure. If personal property is so provided, the SUBGRANTEE will comply with applicable statutes, regulations and the project application in the use, encumbrance, transfer, disposal and sale of such property.
26. That in the event of a sustained audit exception, and upon demand of the STATE AGENCY, the SUBGRANTEE shall immediately reimburse the STATE AGENCY for that portion of the audit exception attributable under the audit to the SUBGRANTEE, but shall also immediately reimburse the STATE AGENCY expenses in defending the audit exception, including and not limited to travel and attorney's fees, in an amount proportional to the amount of the audit exception attributable to the SUBGRANTEE. The SUBGRANTEE

agrees to hold the STATE AGENCY harmless for any audit exception arising from the SUBGRANTEE's failure to comply with applicable regulations.

27. That the SUBGRANTEE is aware all Federal funds granted to it are conditioned upon the availability and appropriation of such funds by the United States Congress and are subject to reduction or elimination by the United States Congress at any time, even following award and disbursement of funds. The SUBGRANTEE shall hold the STATE AGENCY harmless for any reduction or elimination of Federal funds granted to it. In the event of non-appropriation and notice, the SUBGRANTEE shall immediately cease further expenditures under any project.
28. This assurance is given in consideration of and for the purpose of obtaining any and all grants, loans, contracts, property, discounts or other financial assistance extended after the date hereof to the SUBGRANTEE by the DEPARTMENT, through the STATE AGENCY, including installment payments, after such date on account of applications for financial assistance which were approved before such date. The SUBGRANTEE recognized and agrees that such financial assistance will be extended in reliance on the representations and agreements made in this assurance, and that the United States and the State of Arizona, individually or jointly, shall have the right to seek judicial enforcement of this assurance. This assurance is binding on the SUBGRANTEE, its successors, transferees and assigns. The person or persons whose signatures appear below are authorized to sign this assurance on behalf of the SUBGRANTEE. (Please use blue ink)

Date May 13, 2003

The Grants Training School
(Educational Agency)

Grant Trainer
Trainer/Principal
Name and Title (Typed)

(Signature of President, Chairman of
Comparable authorized official)

OTHER AUTHORIZED AGENTS' SIGNATURES
(Please use blue ink)

SAMPLE

Theo Grant, Head Teacher
Name and Title (Typed)

Name and Title (Typed)

Name and Title (Typed)

NOTE: Grants Management cannot assist with the process of deciding who will be a signor on this document. That is an entity Board decision. However, Charter Schools must minimally ensure that the Charter Holder is a signor each year.

**Certification Regarding
Lobbying; Debarment, Suspension, Ineligibility and Voluntary Exclusion; and Drug-Free Workplace
Lower Tier Covered Transactions**

This certifies compliance with requirements regarding Lobbying; Debarment, Suspension, Ineligibility and Voluntary Exclusion; and, Drug-Free Workplace, as prescribed in 34 C.F.R. Part 82 and Part 85, and 7 C.F.R. Part 3017, and the required regulations implementing Executive Order 12549. Copies of these regulations may be obtained by contacting the person to whom this statement is submitted.

(BEFORE COMPLETING CERTIFICATION, READ THE REQUIREMENTS THAT FOLLOW)

- (1) All fund participants must certify, by submission of this statement, that project funds will not, in any way, be used for the purpose of Lobbying or other wise influencing decisions supporting the granting of funds administered by the Arizona Department of Education (ADE).
- (2) The prospective lower tier participant certifies, by submission of this statement, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (3) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this statement.
- (4) Furthermore, that subgrantees receiving ADE administered funds will provide a drug-free workplace.

Grant Trainer
(Print or Type Name)

Trainer/Principal
(Title of Authorized Representative)

(Signature) (Please use blue ink)

(Date)

REQUIREMENTS FOR CERTIFICATION

This certification is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the participant or prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

By signing and submitting this statement, it is understood that the participants and prospective lower tier participant has done so in accordance with the following:

LOBBYING:

8. No Federal appropriated funds have been paid or will be paid, by or on behalf of the above signed, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement.
9. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form – LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
10. The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subgrantees shall certify and disclose accordingly.
11. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

12. The prospective lower tier participant shall provide immediate written notice to the person to whom this statement is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
 - (b) The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntary excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to whom this statement is submitted for assistance in obtaining a copy of those regulations.
 - (c) The prospective lower tier participant agrees by submitting this statement that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency from which this transaction originated.
 - (d) The prospective lower tier participant further agrees, by submitting this statement, that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
 - (e) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non procurement List.
 - (f) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.
 - (g) Except for transactions authorized under paragraph (e) of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, the department or agency from which this transaction originated may, in addition to other remedies available, pursue suspension and/or debarment.

DRUG-FREE WORKPLACE (Grantee other than Individuals)

As required by the Drug-Free Workplace Act of 1988, and subsequent regulations, the applicant certifies that it will or will continue to provide a drug-free workplace by:

13. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition.
14. Establishing an on-going drug-free awareness program to inform employees about the dangers of drug abuse; grantee's policy of maintaining a drug-free workplace; any available drug counseling, rehabilitation, and employee assistance programs; and, the penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.
15. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a).
16. Notify the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will abide by the terms of the statement; and, notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction.
17. Notifying the agency, in writing, within 10 calendar days after receiving notice under paragraph (d) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants and Contracts Service, U.S. Department of Education, 400 Maryland Avenue, SW, Room 3124, Washington, D.C. 20202.

Appendix B

Project/Program Codes

Project Number – 03FASCSR-370021-04A

03 – Fiscal Year 2003 – the first two digits indicate the fiscal year

• **03**FASCSR-370021-04A

S – State or F- Federal – funding source, **S** for state or **F** for federal

• 03**F**ASCSR-370021-04A

AS – Program office responsible for the project

• 03F**AS**CSR-370021-04A

CSR – Program name

• 03FAS**CSR**-370021-04A (see following pages)

370021 – PCA (Project Cost Accounting) number tied to an entity and will be the same for all projects. This is how the ADE pays an entity through the Arizona AFIS System. The first digit stands for the fiscal year, and the following 5 digits represent the entity's actual PCA number.

• 03FASCSR-**370021**-04A

04 – Project phase number. This is the order in which the project was approved for that entity in the given fiscal year.

• 03FASCSR-370021-**04**A

A – distinguishes an Assistance project

• 03FASCSR-370021-04**A**

C – Assistance project also on Contract (IGA, ISA or an RFP)

• 03FASCSR-370021-02**C**

Program Office Codes

AD – Administration

AE – Adult Education

ES – Exceptional Student Services

CT – Career and Technical Education
(Formerly Vocational Education)

AS – Academic Support

CS – Charter Schools

SS – Student Services

Appendix B

Program/Project Codes (this list is not exhaustive)

Program	Prefix
21 st Century Community Learning Centers	FSSCCL
Adult Education/Federal	FAEABE
Adult Education Basic/State	SAEABS
AZ Parents Commission on Drugs (School Based Parenting)	SSSPDE
Compensatory Instruction for English Learners	SASELF
Comprehensive School Reform Demo (Obey-Porter)	FASOBP
Early Childhood Block Grant (Student Services)	SSSECB
Early Literacy Pilot Program	SASELP
Emergency School Repairs and Renovation	FADSIT
Enhancing Education Technology Discretionary (Title II-D Technology)	FADETD
Enhancing Education Thru Tech	FADETF
Extended School Year	SESESY
Family Literacy Program	SAEFLT
Gifted Education	SESGFT
IDEA-Basic-Ent.	FESCBG
IDEA-Best Practices in Early Childhood Transition	FESBPT *
IDEA-Collaborative Compliance Program Review	FESCPR
IDEA-Collaborative Model for Identification	FESCMi *
IDEA-Counseling Grant	FESCNS *
IDEA-Creating Disciplined School Environment	FESCDs *
IDEA-Emergency	FESEMR
IDEA-Emotional Disabilities Program	FESEDP *
IDEA-Excess Costs	FADIEC
IDEA-Improved Decision Making	FESIDM *
IDEA-Improved Student Reading	FESISR *
IDEA-Paraprofessional Training	FESPPT *
IDEA-Preschool Setaside	FESPSA
IDEA-Promising Trans School to Adult Life	FESPTA *
IDEA-Seamless Transition Thru Community Collaboration	FESSTT *
IDEA-Setaside	FESSTA
IDEA-Successful Strategies for Reintegration	FESSSR *
Johnson O'Malley/Indian Ed	FASJOM
Learn & Serve America-Adult	FCTLSA
Learn & Serve America-Youth	FCTLSY
Migrant Education Basic Grant	FASMIG

Program	Prefix
Migrant Education Technology	FASMET
Migrant Program-State Admin Projects	FASMSY
Navajo Preschool	FESNAV
Partnership in Character Education	FASPCE
Preschool Grant	FESCBP
Professional Development Plan	FESPDP *
Refugee Children School Impact Grant	FASRCG
Regional Training Centers	FADRTC
Rural Low-Income School Program	FASRLI
School Safety Program	SSSJCO
State Chemical Abuse	SSSCHM
Stewart B. McKinney Homeless Children	FASHML
Technology Related to School Renovation	FADTRR
Title I-A LEA	FASTTI
Title I-D Neglected or Delinquent -LEA	FASDEL
Title I-D State Agency Neglected or Delinquent	FASNAD
Title I Evenstart/Family Lit.	FAEEVS
Title II-A Improving Teacher Quality (Formerly known as Title II Eisenhower Prof. Dev.)	FASTII
Title II Journey Schools/RTC	FASJSP
Title III LEP Programs (Formerly known as Emergency Immigrant)	FASEMI
Title IV Safe & Drug Free/Basic	FSSIVB
Title V-A Innovative Programs (Formerly known as Title VI Innov Ed Prg Strg)	FASTVA
Voc Ed Basic Grant/Federal	FCTDBG
Voc Ed Corrections	FCTCOR
Voc Ed Nontraditional	FCTNOT
Voc Ed Priority Programs/State	SCTDPP
Voc Ed Statewide Leadership	FCTDSL
Voc Ed Tech Prep	FCTDTP
* There are "YEAR 2" grants associated with these IDEA Grants. The Prefix will be identical with the exception of the last character, which will be the number 2	e.g., FESBP2 FESCM2 FESCNS2

Appendix C

Step-by-Step Instructions for On-line Applications

- A. Enter the Common Logon using directions found on page 6 of this Handbook. Click on Grants Management
- B. From the Grants Management Home Page click on On-line Applications hyperlink
- C. Applications In Progress page
 1. Continue existing application from grid by clicking application name hyperlink or
 2. Choose Create New Application
 - a. New Application Selection Page – Select desired grant (radio button). Scroll down and click Continue
- D. Application Option Page – Click Create New or Continue Application or other hyperlink
- E. Read, print and agree to the Program Assurances
- F. Application – Click on a hyperlink on the left to fill out the corresponding page on the right
 1. Contact Information Page – Enter applicant contact data
 - a. Project Director Designation: select the designation of the person responsible to make decisions regarding the grant application (Mr., Mrs., Ms., Dr.)
 - b. Project Director Contact: Enter the name of the person designated above
 - c. Phone Number: Enter the phone number (including extension) of the person designated above
 - d. Fax Number: Enter the fax number of the person designated above
 - e. E-mail Address: Enter the e-mail address for the person listed above and/or an e-mail address for the person responsible for receiving grant/project notification, i.e. approvals, rejections, etc. You can enter more than one email address, separated by a semicolon.
 - f. Project Period Begin/End Dates:
 - (1.) Grants/projects generally are granted for one fiscal year beginning July 1st and ending June 30th of the following calendar
 - (2.) All state grants/projects end on June 30th
 - (3.) The Local Educational Agency (LEA) can request extension of the end date at the time the application is being made for some federal grant applications, to September 30th (i.e., for summer programs, extended school year)
 - g. Save page
 2. Line Items Page – Enter budget amounts by line item (amounts will tally as you tab to the next line item)
 - a. Salaries – Must include full-time equivalency (FTE) (and must include benefits in next line item)
 - b. The purchase of any textbooks, library books and instructional aids (e.g., instructional computer software, workbooks, films, and kits) must be budgeted as supplies (continued on reverse side)

Appendix C

Step-by-Step Instructions for On-line Applications (con't)

c. Indirect Cost Rate

- (1.) Can ONLY be applied against federally funded projects; however, may be restricted or disallowed on some federal grants (see grant-specific Maximum Allowable Indirect Cost download in online Glossary)
- (2.) Appears as a separate line item on the project budget page
- (3.) May not exceed the indirect cost rate times the actual expenditures of the project
- (4.) Is in effect at the project starting date and is to be used for the entire project period

d. Capital Outlay/Fixed Assets

e. Save page

3. Line Item Description Page

- a. Note: only those line items with dollar amounts will appear on this page
- b. Enter a description of the itemized costs for all items appearing
- c. Save page

4. Capital Outlay Page – Boxes will only appear on page if capital outlay is being requested

- a. Enter the quantity, cost per unit, description and purpose of item
- b. Add 5 more lines, or
- c. Save page

5. Payment Schedule Page – select one*

- a. Payment Distributed Manually – LEA can enter requested payments
 - (1.) *This is the only option for federal projects. Enter first disbursement in desired month and the rest in RSP (Remaining Scheduled Payment)
 - (2.) For State projects, enter amounts in months desired
- b. Payment Distributed Evenly – System distributes in equal payments
- c. Months that have passed will be blocked
- d. Payments are subject to program office approval
- e. Save page

6. Supplemental Data Page(s) - Enter response to program specific questions, if applicable

G. Summary & Submit – if all pages are completed correctly, click this hyperlink to view Summary

H. Print and Submit – Print Summary by placing mouse cursor directly over the Summary, right click the mouse and choose Print from the menu (for your records)

I. Application Receipt – Print the receipt and keep with records

NOTE: Applications are subject to the review and approval by the appropriate program office. A grant application is not approved until approval notification is sent to the subgrantee. The application may also require additional downloads. Refer to Application Downloads on page 15.

Appendix D

Budget Page for Community Based Organizations (CBOs),
Institutions of Higher Learning (IHLs), and State Agencies.

The screenshot shows a web browser window titled "ADE - Grants Management Enterprise - Microsoft Internet Explorer". The address bar shows the URL: http://intranet.ade.az.gov/GME_Intranet/Application/Capture/ApplicationCM.asp. The page header includes the title "GRANTS MANAGEMENT ENTERPRISE" and the Arizona Department of Education logo. A navigation bar contains links: "ADE Home Page", "Grants Home Page", "Glossary", "Contacts", and "FAQ's".

On the left side, there is a sidebar with the following sections:

- FINANCIAL DATA**
 - Hard Copy Information
 - Contact Information
 - Line Items
 - Line Items Description
 - Capital Outlay
 - Funding Sources
 - Payment Allocation
 - Approval Information
- SUMMARY & APPROVE**
- EXIT APPLICATION**

The main content area displays a table titled "BUDGET LINE ITEMS". The table has three columns: "Function Code", "Object Code", and "Voc Ed Statewide Leader". The table is divided into several sections:

BUDGET LINE ITEMS		
Function Code	Object Code	Voc Ed Statewide Leader
Expenditure Categories		
Salaries - Instructional	4100	0.00
Salaries - Non-Instructional	4150	0.00
Employee - Benefits	4200	0.00
Travel	4250	0.00
Supplies and Materials	4300	0.00
Purchased Services / Consultant Fees	4400	0.00
Tuition	4500	0.00
Printing and Reproduction	4600	0.00
Utilities and Communications	4700	0.00
Other Expenses	4800	0.00
Subtotal for Expenditure Categories		0.00
Project SubTotal		0.00
Max ADE Restricted Indirect Cost Allowed		0.00
Indirect Cost		
Restricted Indirect Cost Rate 8 %	9999	0.00
Capital Outlay		
Capital Outlay	4900	0.00
Total		0.00

The status bar at the bottom shows "Done" and "Local intranet".

Some entities fill out a short budget form (applications, amendments and completion reports), typically have project numbers that end with "C" (Contract), and the projects are often based invoice-based (reimbursement)

* CHART OF ACCOUNTS AND EXPENSE CLASSIFICATIONS
UNIFORM SYSTEM OF FINANCIAL RECORDS (USFR)

(Further information may be obtained from the Chart of Accounts in the U.S.F.R. for Arizona School Districts or U.S.F.R.C.S. for Arizona Charter Schools)

OBJECT CODE	OBJECT NAME	INSTRUCTION 1000	SUPPORT SERVICES 2100, 2200, 2600-2900	SUPPORT SERVICES ADMINISTRATION 2300, 2400, 2500	OPERATION OF NON- INSTRUCTIONAL SERVICES 3000	FACILITIES ACQUISITION & CONSTRUCTION 4000	DEBT SERVICE 5000
6100	Salaries	Teacher/Project Director, Teachers, Coaches, Tutors, Substitute Teachers, P. E. Teachers, Speech Teachers, Teacher's Aides, Reading Specialists	Researchers, Librarians Counselors Audiovisual, Curriculum Consultants, Program Evaluators, Audiologists, Psychologists, Social Workers, Public Relations, Nurses, Attendance Personnel, Record Clerks, Bus Drivers, Maintenance Workers, Security, Data Processing, Speech Pathologists, Staff Trainers, Janitors, Custodians, Printers/Publishers	Superintendent, Principals, Project Directors, Clerical, Purchasers, Personnel, Governing Board, Accounting, Printers/Publishers, Budgeting, Lobbyists Warehousing,	Cooks, Bookstore Staff, Dieticians	School Staff doing in-house construction	Appendix E
6200	Employee Benefits	Benefits	Benefits	Benefits	Benefits	Benefits	
6300	Purchased Professional Services	Contracted Teachers (Not an employee)	Consultants, Counselors, Therapists, Dentists, Doctors, Staff Trainers	Auditors, Lawyers, Accountants		Architects, Engineers	
6400	Purchased Property Services	Repair and Maintenance Service, Rental of Instruction Equipment, Other Property Services	Utility Services, Cleaning Services, Repair and Maintenance Services, Rentals, Other Property Services	Repair and Maintenance Service, Rental of Equipment and Vehicles, Other Property Services	Repair and Maintenance, Rentals		
6500	Other Purchased Services	Miscellaneous Services, Student Travel, Non-Student Travel, Tuition	Advertising, Non-Student Travel, Student Transportation Services, Printing and Binding, Insurance, Miscellaneous Services	Communications, Telephone and Facsimile Services, Advertising, Travel, Postage, Internet Fees	Bookstore Management, Food Service Management, Travel	Travel	
6600	Supplies	General Supplies, Books, Textbooks, and Periodicals, Instructional Aids (including software)	General Supplies, Energy, Books, Library Books and Periodicals (including software)	General Supplies, Books and Periodicals (including software)	General Supplies, Energy, Food	General Supplies	
6800	Other Expenses	Dues and Fees, Miscellaneous	Dues and Fees, non-payroll taxes, Judgements, Miscellaneous	Miscellaneous	Miscellaneous	Miscellaneous	Interest

Note 1: School Districts and Charter Schools should use Object Code 6910 to record indirect costs for the total project budget excluding capital expenditures.

Note 2: For Charter Schools, the acquisition of Buildings and Equipment by purchase, construction or lease purchase is coded to an asset account-0180.

School Districts should code the acquisition of Land, Land Improvements, Buildings and Equipment to Object Code 6700 under the proper function code.

The "et. al." next to 6700 in the online application refers to the fact that capital may be included under other codes besides 6700. Et al. means "and others."

Last revised 1/8/98

Appendix F

Step-by-Step Instructions for On-line Amendments

- A. Enter the Common Logon using directions found on page 6 of this Handbook. Click on Grants Management
- B. From the Grants Management Home Page click on Amendments hyperlink
- C. Amendments In Progress Page
 - 1. Click on project number from grid by clicking a hyperlink
- D. Amendment Option Page – Click Create New or Continue Amendment or other hyperlink
- E. Program Assurances – listed for review and agreement
- F. Amendment – Click on a hyperlink on the left to fill out the corresponding page on the right
 - 1. Contact Information Page – Review/modify applicant contact data for accuracy
 - a. Project Director Designation: review/modify the designation of the person responsible to make decisions regarding the grant application (Mr., Mrs., Ms., Dr.)
 - b. Project Director Contact: review/modify the name of the person designated above
 - c. Phone Number: review/modify the phone number (including extension) of the person designated above
 - d. Fax Number: review/modify the fax number of the person designated above
 - e. E-mail Address: review/modify the e-mail address for the person listed above and/or an e-mail address for the person responsible for receiving grant/project notification, i.e. approvals, rejections, etc. You can enter more than one email address, separated by a semicolon.
 - f. Review/modify Project Period Begin/End Dates:
 - (1) All state grants/projects end on June 30th
 - (2) The Local Educational Agency (LEA) can request a change in end date through the amendment for some federal grants/projects, to September 30th (i.e., for summer programs, extended school year).
 - g. Save page
 - h. Amendment Reason – To be used for the same purpose as a cover memorandum

(Continued on reverse side)

Appendix F

Step-by-Step Instructions for On-line Amendments Continued

- (1.) Enter a brief reason for submitting the amendment (i.e., to include carryover and interest, to increase/decrease specific line item budget due to vacancy saving due to underestimated/overestimated costs, change the end date, etc.)
- (2.) Save page

2. Line Items Page – Enter the budgetary information for each line item amount to be changed.

- a. To increase the budgeted amount, type in the amount the line item is to be increased by.
- b. To decrease the budgeted amount use either the minus (-) symbol before the amount, or parentheses surrounding the dollar amount.

3. Line Item Description Page

- a. Edit the budget descriptions, as appropriate
- b. Save page

4. Capital Outlay Page – Boxes will only appear on page if capital outlay is being/has been requested.

- a. Edit the existing capital outlay items, or
- b. “Add Blank Line” to add capital outlay items, or
- c. Delete data from entire line if item will not be purchased
- d. Save page

5. Supplemental Questions Page: enter/revise responses to program-specific questions, if applicable

G. Summary & Submit – if all pages are completed correctly, click this hyperlink to view Summary

H. Print and Submit – Print Summary by placing mouse cursor directly over the Summary, right click the mouse and choose Print from the menu (for your records)

I. Amendment Receipt – Print the receipt and keep with records

Note: Requested changes can be implemented when approved by the appropriate program office. The email address(es) provided will be notified when approved.

Appendix G

Step-by-Step Instructions for On-line Cash Management Reports

- A. Enter the Common Logon using directions found on page 6 of this Handbook. Click on Grants Management
- B. From the Grants Management Home Page click on Cash Management Report hyperlink
- C. (Reminder Page) – click Continue
 1. Between the 19th and 1st of the proceeding month a Cash Management Report Hold message will appear advising you that the report will not be processed during this timeframe. A new report will be due again in the following month. Click on Continue to submit the late report.
 2. Click Continue
- D. Cash Management Project Selection Page
 1. Project Number
 - a. Click on the appropriate project number hyperlink to submit a report or
 - b. Click on View Previous Cash Management Reports to print for your audit trail
- E. Cash Management Report Submittal Page
 1. Total Budget - System generated, no data entry required
 2. Disbursement from ADE to Date – System generated, includes funds paid to date, no data entry required
 3. Allowable Adjusted Cash Balance – System calculates the 4.0% allowable; no data entry required
 4. Cash Balance – Enter cash balance as of the date of the report. Of the funds that were disbursed for the current year and/or any amended carryover and amended interest (all project revenue), what is the remaining balance? This figure can be negative.
 5. Encumbrances (Reserved)/Requisitions – Enter the amount encumbered/reserved and/or on requisition. (Allowable amount may include outstanding (received but unpaid) purchase orders/invoices/requisitions and/or payroll not to exceed 30 days.)
 6. Click on Submit to ADE to submit the report to the Arizona Department of Education (ADE).
- F. Cash Management Report Receipt Page
 - a. Print receipt and maintain with grant/project records. The receipt is the only audit trail you will have to verify that a cash management report was submitted, and the status of the grant at the time it was submitted, if audited by ADE, independent auditors, or the federal government. The Disbursement to Subrecipient is the next disbursement amount, which can never exceed the unreleased/undisbursed amount. If there are other holds on the project, no funds can be disbursed until the holds are removed. See below for an explanation of holds.

Appendix H

Project Holds: Their Meaning and Remedy

Flag	Meaning	To remove flag:
Cash Management Report Due (Federal projects)	A report is due for the current report period	Submit a report prior to the 19 th of the month
Completion Report Due	The project end date has occurred and the project is now eligible for completion report submission.	Submit a completion report within 90 days of the project end date
Hold ⁵ Label	Meaning	To remove hold ⁶ :
Cash Management non-submission	A required cash management report was not submitted prior to the 19 th of the month	Submission of a late report will not affect the hold or permit a subsequent month disbursement. Another report is due in the following month.
Cash Management Report Out of Compliance	The current month's submitted report reflected an adjusted cash balance greater than the 4.0% allowable. If this label stands as-is through the 18 th of the month, the project will not receive funds and is subject to an independent auditor's finding.	Expend or encumber funds appropriately and submit another (compliant) report prior to the 19 th of the month. If the deadline has passed, expend funds appropriately to eliminate the excess cash condition or consider remitting the excess cash back to ADE. (Contact Grants Management first.) Another report is due in the following month.
Programmatic Hold	The Program Office has placed a hold on this project	Contact the appropriate Program Office to find out what is required to remove the hold
Programmatic Hold +	The Program Office has placed a hold on this project and all subsequent year (same grant) projects	Contact the appropriate Program Office to find out what is required to remove the hold
Completion Report Overdue	The due date to submit a completion report to ADE for this project has passed and the report is overdue. Completion reports are due within 90 days after the project end date.	Submit the completion report to ADE
CR Hold-Prior CR Due	The current year project is on hold due to a prior year project's completion report (same grant) not having been submitted to ADE within 90 days after the prior year project's end date, or, the prior year project's completion report was rejected and not resubmitted back to ADE within 30 days. Funding will not flow on all same-grant projects.	Submit the prior year's completion report
CR Out of Comp	The project is on completion report hold due to additional completion report data not having been submitted, or additional data was submitted incorrectly or insufficiently.	Contact the appropriate Program Office to determine what additional data or corrected data is needed to remove the hold.
CR Hold-Prior CR OOC	The current year project is on completion report hold due to a prior year project's additional completion report data not having been submitted, or additional data was submitted incorrectly or insufficiently. Funding will not flow on all same-grant projects.	Contact the appropriate Program Office to determine what additional data or corrected data is needed to remove the hold.
Audit Hold	The entity did not submit the results of an OMB A-133 Single Audit after expending \$300,000 or more in federal funds during a previous fiscal year. All federal funds administered by the ADE are on hold.	Submit the results of the independent OMB A-133 Single Audit to the ADE Audit Resolution unit.

⁵ All holds prevent project funds from flowing and the entity is subject to an ADE and/or an independent auditor's finding

⁶ The ADE accounting cycle begins on the 20th of every month. At that time, ADE must have static project statuses; no holds may be removed or added during this time.

Appendix I

Step-by-Step Instructions for On-line Completion Reports

- A. Enter the Common Logon using directions found on page 6 of this Handbook. Click on Grants Management
- B. From the Grants Management Home Page click on Completion Reports hyperlink
- C. Completion Report Entry Page
 1. Choose the appropriate fiscal year from the dropdown, then click Show Projects
 2. Click on the appropriate completion report (project number) hyperlink
- D. Completion Report Option Page – Click on Create New or Continue Completion Report or other option
- E. Completion Report – Click on a hyperlink on the left to fill out the corresponding page on the right
 1. Contact Information Page – Review/modify applicant contact data for accuracy
 - a. Project Director Designation: review/modify the designation of the person responsible to make decisions regarding the grant application (Mr., Mrs., Ms., Dr.)
 - b. Project Director Contact: review/modify the name of the person designated above
 - c. Phone Number: review/modify the phone number (including extension) of the person designated above
 - d. Fax Number: review/modify the fax number of the person designated above
 - e. E-mail Address: review/modify the e-mail address for the person listed above and/or an e-mail address for the person responsible for receiving grant/project notification, i.e. approvals, rejections, etc. You can enter more than one email address, separated by a semicolon.
 - f. Save page
 3. Funds Summary Page
 - a. Total Budgeted Funds - No entry required
 - b. Current Fiscal Year ADE Disbursement - No entry required
 - c. Carryover Funds - No entry required
 - d. Balance – Amount of unreleased project funds
 - e. Allowable Cash on Hand – Equal to 4.0% of the budget total
 - f. Cash On Hand - Enter cash on hand (less interest)
 - g. Interest Earned - Enter amount, less interest already returned to ADE on this project
 - h. Other* - Enter amount not included in cash on hand or interest
 - i. Comments/Explanation of "Other" Funds – Entry required only if an amount is entered in "Other"
*Example of "other" funds: Prior year (same grant) refunds or other same-grant funds discovered through audit, for example. Also revise a prior year's completion report to reflect project monies that were discovered later.
 - j. Save page

(Continued on reverse side)

Appendix I

Step-by-Step Instructions for On-line Completion Reports (con't)

4. Expenditures Page – report actual expenditures
 - a. Enter the actual expenditure amounts to the penny
 - b. Transfer overexpenditures and unauthorized expenditures to local funds
 - c. Indirect Cost may not be exceeded by even one penny (round down). Indirect cost cannot exceed the rate times the project subtotal of actual expenditures (excluding capital outlay) unless more stringent grant limits exist
 - d. Save page
5. Capital Outlay Page – Boxes will only appear on page if capital outlay is reported as expended
 - a. Enter data in Quantity, Cost per Unit, Description of Item, and Purpose
 - b. Add 5 more rows, as appropriate
 - c. Grand Total must equal amount budgeted to capital before report can be submitted
 - d. Save page
6. Supplemental Data Page(s) - Enter response to program specific questions, if applicable
- F. Summary & Submit – if all pages are completed correctly, click this hyperlink to view Summary
- G. Print and Submit – Print Summary by placing mouse cursor directly over the Summary, right click the mouse and choose Print from the menu (for your records)
 1. Once this page is submitted it will be routed to the county superintendent's office for approval, or
 2. Directly to ADE if appropriate
- H. Completion Report Receipt – Print the receipt and keep with records
- I. Be sure to submit any additional hardcopy narratives or other programmatic requirements. Check the Completion Report Downloads section on the Grants Management homepage

NOTE: The disposition of grant funds is governed by the USFR/CS, and grant guidelines. Do not remit completion report funds back to the ADE until directed to do so by the Program Office administering the grant. You will be notified via email. Approved completion report carryover must be amended as soon as possible after approval. Visit the Fund Carryover Matrix on the online Glossary page for more carryover information.

Appendix J

Grants Management Calendar

To see a schedule of workshops available, visit the Grants Mgmt Glossary under *Cash Mgmt Reports* (download the calendar)

November 2002						
Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
					1	2
24	25 Flagstaff RTC workshop	26	27	28 Holiday Thanksgiving Day, observed	29	30

December 2002						
Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
1	2 Flagstaff RTC workshop on cash mgmt	3	4	5 Tucson RTC workshop	6 Tempe RTC workshop (full day) at ASU West	7
8	9	10	11	12	13	14
15	16	17	18 End of cash management reporting period for all federal projects	19	20	21
22	23	24	25 Holiday Christmas Day, observed	26	27	28
29 Deadline for completions reports to be submitted to the ADE for projects ending September 30 th	30	31				

January 2003						
Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
			1 Holiday New Year's Day, observed	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18 End of cash management reporting period for all federal projects
19	20 Holiday Martin Luther King, Jr. Day, observed	21	22	23	24	25
26	27	28	29	30	31	

Appendix J

Grants Management Calendar

February 2003						
Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
						1
2	3	4	5	6	7	8
9	10	11	12 Lincoln's Birthday	13	14	15
16	17 President's Day	18 End of cash management reporting period for all federal projects	19	20	21 Washington's Birthday	22
23	24	25	26	27	28	
30						

March 2003						
Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
						1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18 End of cash management reporting period for all federal projects	19	20	21	22
23	24	25	26	27	28	
30	31			Amendment	deadline	approaching

April 2003						
Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
		1	2 Last day to submit amendments for projects ending June 30	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18 End of cash management reporting period for all federal projects	19
20 Easter	21	22	23	24	25	26
27	28	29	30			

Appendix J

Grants Management Calendar

May 2003						
Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18 End of cash management reporting period for all federal projects	19	20	21	22	23	24
25	Holiday 26 Memorial Day, observed	27	28	29	30	31

June 2003						
Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18 End of cash management reporting period for all federal projects	19	20	21
22	23	24	25	26	27	28
29	30 End of State fiscal year End date for most projects					

For Further Assistance

- ❖ If further assistance is required, contact the Arizona Department of Education's Grants Management Office or your local Regional Training Center (RTC) at one of the numbers listed below. The following information should be provided:
 - Are you using a Macintosh (MAC) or personal computer (PC)?
 - What browser are you using? (Netscape, Internet Explorer, etc.)
 - What version are you operating? (Netscape 4.5, Internet Explorer 5.0, etc.)
 - What function were you attempting? (application, amendment, cash management, completion report)
- ❖ Grants Management Office at (602) 542-3452
- ❖ Ade Support Center (Common Logon tech support) -- in Phoenix 602-542-7378, or outside of Phoenix at 1-866-577-9636
- ❖ Local Regional Training Centers (RTC)
Workshops are available throughout the year and may be presented by the RTC in your area, or collaboratively between an RTC and the ADE Grants Mgmt unit. Visit the RTC webpage and sign up online! www.ade.az.gov/rtc
 - Flagstaff (928) 527-6122
(Apache, Coconino, La Paz, Mohave, Navajo, Yavapai and Yuma counties)
 - San Simon (520) 845-2275 or toll free at (866) 830-5128
(Graham, Cochise and Greenlee counties)
 - Tempe (480) 965-3366
(Maricopa and Gila counties)
 - Tucson (520) 225-4959
(Pinal, Pima and Santa Cruz counties)
- ❖ You may be requested to print and fax the error message to (602) 542-3359, Attention: Grants Management (see Page 24 for instructions on printing error messages); or
- ❖ Attach the error message to an e-mail and send to the Grants Management Office at grants@ade.az.gov

The contents of this publication were developed with funds allocated by the U.S. Department of Education. These contents do not necessarily represent the policy of the agency, nor should endorsement by the federal government be assumed. Two hundred copies were printed of this issue for a total cost of \$1,143.42 (per copy cost of \$5.72).

The Arizona Department of Education, a state educational agency, is an equal opportunity employer and affirms that it does not discriminate on the basis of race, religion, color, national origin, age, sex or handicapping condition.